

Guide to Managing Your Public Transportation Grant

For 2005-2007 State and Federal Grants Awarded by
the Washington State Department of Transportation



**Washington State
Department of Transportation**

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Prepared by the

Washington State Department of Transportation
Public Transportation and Commute Options Office

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For questions about this guide or the services available from the Washington State Department of Transportation, Public Transportation and Commute Options Office, please call (360) 705-7911.

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Prepared by the Public Transportation and Rail Division
Washington State Department of Transportation

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Purpose of This Guide

The purpose of this guide is to provide technical assistance to organizations that have been awarded state and/or federal public transportation project funding through the Washington State Department of Transportation (WSDOT). This guide will help you comply with the laws and regulations associated with Federal Transit Administration (FTA) and Washington State public transportation funding. In addition, you will find technical assistance and best practices on implementing and managing your project.

Note: Most of the requirements addressed in this guide pertain to organizations receiving federal funds but can be used as a model for best practices on all projects.

What Does This Guidebook Contain?

The key to ensuring compliance with the laws and regulations associated with grants is record keeping and the development and implementation of policies and procedures. This guide is divided into three parts to help you locate the information you need based on the type of project you are managing:

- [Chapter 1: Guidelines for All Projects](#)
- [Chapter 2: Guidelines for Operating Projects](#)
- [Chapter 3: Guidelines for Capital Projects](#)

What Funding Programs are Covered in This Guide?

This guide covers current public transportation funding programs managed by WSDOT's Public Transportation and Commute Options Office (PT&CO). PT&CO manages both competitive grants and transit formula based grants. This section provides a brief overview of each program.

What FTA Programs are Covered?

Below is a list of FTA programs covered in this guide.

- **3037** – Job Access and Reverse Commute (JARC)
 - Capital – Passenger service vehicles.
 - Operating – Subsidy for providing passenger transportation services to low-income persons to access work, work related childcare, and educational programs.
- **5309** – Transit bus and bus related projects as identified in the federal reauthorization or appropriation budget. Types of projects eligible:
 - Capital – Transit vehicles and other related equipment and facilities.
- **5310** – Transportation Services for Elderly Persons and Persons with Disabilities. Types of projects eligible:
 - Capital – Vehicles and other related equipment and facilities.

- **5311** – Transportation services for the general public in rural areas.
Types of projects eligible:
 - Capital – Passenger service vehicles and other related equipment.
 - Operating – Subsidy for fixed route, route deviated, and demand response service.
- **5311(f)** – Intercity Bus Program. Intercity service provided to the general public. Types of projects eligible:
 - Capital – Passenger service vehicles and other intercity bus equipment.
 - Construction or modification of facilities used by intercity bus providers.
 - Operating – Intercity bus service in small urban and rural areas.

Note: Feeder service is eligible only if it is designed to provide transportation to the general public for the purpose of accessing intercity bus services.
- **Program Development** – Projects may be funded with 5311, 5313, or other available funding.

What About STP Funds?

In addition to the FTA programs listed above, this guide covers projects that are transferred from the Federal Highway Administration's (FHWA) Surface Transportation Program (STP) to FTA's 5310 or 5311 program. If your organization was awarded STP funds, by either your Regional Transportation Planning Organization (RTPO) or Metropolitan Planning Organization (MPO), please contact one of the WSDOT staff members listed on page xi of this guide for additional guidance.

What State Funds are Covered?

This guide covers two categories of state funding programs, the Rural Mobility Grant Programs and the Paratransit/Special Needs Grant Programs. Below is a brief overview of each.

Rural Mobility

Rural mobility funding is available to provide transportation in small cities (population less than 50,000) and rural areas of Washington State. There are two separate rural mobility allocations:

- **Rural Mobility Competitive** – This competitive program is open to private non-profit, private for profit, tribal, and government agencies. Eligible projects include:
 - Capital – Passenger transportation vehicles and other related equipment.
 - Operating – Passenger transportation services.
 - Program Development – Planning, coordination, and marketing activities for public transportation services.

- **Rural Mobility Transit Formula** – Funding provided by the legislature for the 2005-2007 biennium. This is a formula program for transit systems only. Eligible projects include:
 - Capital – Passenger transportation vehicles and other related equipment.
 - Operating – Passenger transportation services.
 - Program Development – Planning, coordination, and marketing activities for public transportation services.

Paratransit/Special Needs Transportation

This funding was provided by the 2005 Legislature to increase access to transportation for persons who because of age, disability, or income status are unable to provide their own transportation. To be eligible for Paratransit/Special Needs funding, transit agencies must have a maintenance of effort for special needs transportation that is no less than the previous year's maintenance of effort. Two programs were established:

- **Paratransit/Special Needs Non-Profit** – This is a competitive program that provides funding to private non-profit organizations. Eligible projects include:
 - Capital – Passenger service vehicles and other related equipment needed to provide services for persons with special transportation needs.
 - Operating – Passenger transportation services designed to meet the needs of persons with special transportation needs.
- **Paratransit/Special Needs Transit Formula** – These are formula based grants for transit agencies. Eligible projects include:
 - Capital – Passenger service vehicles and other related equipment needed to provide special needs transportation service.
 - Operating – Transportation services designed to meet the needs of persons with special transportation needs.

What Other Resources are Available?

WSDOT provides technical assistance to all grantees upon request. The PT&CO staff will be happy to assist your organization in the following areas:

- Vehicle Specifications and Bid Procedures
- Drug Abuse and Alcohol Misuse Testing Policies and Procedures
- Other Required Policies and Procedures
- Project Management
- Financial Management
- Complying With Federal and State Regulations
- Project Development

For additional information to assist you with managing your project, visit the websites listed below:

Organization

WA State Department of Transportation
Community Transp. Assoc. of America
Community Transp. Assoc. Northwest
Federal Transit Administration
WA State Transit Association
WA State Transit Insurance Pool
WA State Transp. Training Coalition

Website

www.wsdot.wa.gov/transit
www.ctaa.org
www.cta-nw.org
www.fta.dot.gov
www.watransit.com
www.wstip.org
www.wsttc.org

Who Do I Contact for Help?

For questions on this guidebook, or to receive technical assistance, contact one of the PT&CO staff listed below.

Contract and Grant Administration			
Jerry Ayres, Contracts and Grants Administrator	<ul style="list-style-type: none"> Oversight and administration Conflict resolution 	(360) 705-7912	ayresj@wsdot.wa.gov
Ginny Morin, Grant Programs Supervisor	<ul style="list-style-type: none"> Grant management Finance and contract supervision 	(360) 705-6985	moring@wsdot.wa.gov
Debby Carr, Contracts Specialist	<ul style="list-style-type: none"> Contracts and amendments 	(360) 705-7914	carrd@wsdot.wa.gov
David Chenaud, Contracts and Grants Technical Support	<ul style="list-style-type: none"> Invoicing Progress reports 	(360) 705-7839	chenaud@wsdot.wa.gov
Patty Alvord, Grant Compliance and Planning Specialist	<ul style="list-style-type: none"> Compliance with state and federal regulations Contract compliance Planning/TDP Drug and alcohol compliance 	(360) 705-7979	alvordp@wsdot.wa.gov
Hiep Tran, Procurement Specialist	<ul style="list-style-type: none"> Vehicle procurement 	(360) 705-7875	tranh@wsdot.wa.gov
Barb Savary, Safety and Asset Management Specialist	<ul style="list-style-type: none"> Asset Management Drug and alcohol program management Safety, security, and emergency management 	(360) 705-7926	savaryb@wsdot.wa.gov
Program Development and Coordination			
Robin Phillips, Administrator for Coordinated Transportation	<ul style="list-style-type: none"> ACCT Special needs Trip planner 	(360) 705-7929	phillir@wsdot.wa.gov
Don Chartock, Special Needs Program Coordinator	<ul style="list-style-type: none"> Project development ACCT Special needs 	(360) 705-7928	chartod@wsdot.wa.gov
Dan Wayne, Intercity and Rural Specialist	<ul style="list-style-type: none"> Project development Intercity bus program Public transportation conference 	(360) 705-7909	wayned@wsdot.wa.gov
Communications			
Tonia Buell, Communications Manager	<ul style="list-style-type: none"> Marketing Public relations 	(360) 705-7439	buellt@wsdot.wa.gov
General Information			
Steinun Priem, Contracts and Grants Secretary		(360) 705-7911	transit@wsdot.wa.gov
Cathy Silins, PT&CO Manager		(360) 705-7919	silinsc@wsdot.wa.gov

This chapter provides the basic information you need to know regardless of the type of funding or project you were awarded. In addition, you will find helpful suggestions to make your project more successful and avoid potential problems.

Are Annual Audits Required?

If your organization spends federal funds totaling \$500,000 or more in a federal fiscal year (October 1 through September 30), your organization is required to submit an annual audit report to the Washington State Department of Transportation (WSDOT), PO Box 47387, Olympia, WA 98504-7387, for the duration of your project. The entity performing your audit is based on the type of organization you work for:

- Public Agencies are audited by the State Auditor's Office.
- Private for profit or non-profit organizations and tribal governments must have their audits performed by a certified public accountant.

Note: All audits performed must meet the requirements of OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations.

In addition, WSDOT, the Washington State Auditor's Office, or the Federal Transportation Administration (FTA) (in the case of federal awards) may perform an audit of your project. These audits will be based upon the scope of work for your project, your financial records, and the federal and state laws and regulations referenced in your agreement or contract with WSDOT. The audits may take place during the course of your project and/or up to three years beyond the end of your agreement or contract with WSDOT. It is recommended that your organization establish a record retention policy that conforms to the audit review requirements.

What is the Transit Asset Management Plan?

As a condition of receiving state funding, all public transit systems (as defined in RCWs 35.84.060, 36.56, 36.57A, and 81.112) are required to have an Asset Management Plan (AMP) that is certified by the Washington State Transportation Commission. At minimum, the plan must include an inventory of the transit system's assets and a preventative maintenance program based on lowest life cycle cost methodologies. Guidance for the development of a transit AMP has been published in a separate document. Contact a WSDOT staff member listed on page xi of this guide for more information.

Labor Compliance Issues

The basic requirements for complying with federal labor regulations include, but are not limited to:

- Fair Labor Standards Act
- Contract Work Hours and Safety Standards Act
- Section 5333(b) Labor Standards

What are the Fair Labor Standards Act and Contract Work Hours and Safety Standards?

The Fair Labor Standards Act and the Contract Work Hours and Safety Standards provisions established basic wage standards to be used for employees. The three main features that apply to your organization are:

- **Minimum Wage** – All employees must be paid at the current federal minimum wage or state minimum wage whichever is higher.
- **Overtime** – Non-professional employees must be paid at a rate of 1½ times their normal pay for all hours worked beyond 40 hours per week.
- **Health and Safety** – No employee shall be placed in a work environment that is unsanitary, hazardous, or dangerous to his/her health or safety.

Note: Some types of employees are exempt from overtime payment requirements. However, it is very important that you do not assume that the exemptions apply to your employees. It is always best to refer directly to the implementing regulations to determine what course of action you may take. Copies of 40 U.S.C. Chapter 5 (Contract Work Hours and Safety Standards) and 29 U.S.C. Chapter 8 (Fair Labor Standards Act) can be found in the reference manual that accompanies this guide. Current state minimum wage information is available at <http://www.lni.wa.gov>

How Do I Comply With Section 5333(b) Labor Standards?

The 5333(b) Labor Standards is also known by its former name, Section 13(c) Special Warranty. In Chapter 8 of the reference manual that accompanies this guide, you will find a copy of the *Rural Transportation Employee Protection Guidebook*, published by the U.S. Department of Labor. That publication will give you detailed information about the requirements. The specific federal laws and regulations can be found in 49 U.S.C. Section 5333(b) and 29 C.F.R. part 215.

Who Must Comply With 5333(b)?

At this time, the Section 5333(b) Labor Standards apply only to organizations that are awarded Section 5309, 5311, 5311(f), and JARC (3037) projects. However, if the U.S. Secretary of Labor deems it necessary, the requirements will also apply to 5310 projects.

Who is Covered Under the Labor Protections?

Section 5333(b) was put in place to ensure that no rural transportation employee is terminated or his/her position worsened as a result of an FTA funded project. The labor protections under 5333(b) apply primarily to your employees. However, it also covers the employees of any other transportation provider operating in your service area.

Can Claims be Filed Against My Organization?

If a passenger transportation employee feels that they were terminated or their position was worsened as a result of your organization being awarded an FTA project, that employee, or a union representing the employee, has the right to file

a claim with the U.S. Department of Labor. If the claim is found in their favor, it will be your responsibility to make any necessary financial and/or employment accommodations for that individual. The U.S. Department of Labor may also impose a fine. Below are examples of circumstances that may cause a claim to be filed:

- Your Employees:
 - Your organization is awarded a project that includes the purchase of a new dispatch system. As a result of this project, you only need two dispatchers instead of three and one dispatcher is laid off.
 - Your organization is awarded a project to purchase a minibus to replace a large bus. However, your organization pays minibus drivers less than it pays drivers of large buses and as a result, one driver's pay is reduced.
- Employees of Other Transportation Providers:
 - Your organization is awarded a project to provide transportation in a new area. As a result of this new service, there is a decline in another provider's service and the other provider terminates an employee.

What are the Basic Compliance Requirements?

There are three basic steps to make sure your organization is in compliance with Section 5333(b) Labor Standards.

- **Step One** – Review the *Rural Transportation Employee Protection Guidebook* to ensure you are in full compliance with the Department of Labor regulations associated with rural transportation programs.
- **Step Two** – Post an employee notice. This notice advises passenger transportation employees of their rights and the process they must follow if they feel their position has been worsened. A sample of the notice can be found in Appendix “F” of the *Rural Transportation Employee Protection Guidebook*. To comply with the posting requirement, the following action must be taken:
 - You must prepare the notice on your organization's letterhead. This includes inserting your organization's name in the appropriate places.
 - Attach copies of pages 22 through 27 and 30 through 38 of the *Rural Transportation Employee Protection Guidebook* behind your notice.
 - Attach the procedure for filing a claim. If you did not receive a copy of the claims procedure, WSDOT will provide a copy to you upon request.
 - If your public transportation employees are covered by a union bargaining agreement, also attach a copy of your union arbitration procedures.
 - Post this information in an employee gathering area for the entire period of your grant award.

- **Step Three** – If you have a union contract, notify your union local. In addition, incorporate the arbitration procedures described in the *Rural Transportation Employee Protection Guidebook* into your current and future union contracts

Private Sector Participation

This section applies only to public agencies that were awarded FTA funding for their projects. FTA requires that all public agencies awarded FTA funds allow private mass transportation providers to participate in the project to the maximum extent feasible. Organizations awarded FTA funded projects are prohibited from using those funds to operate in direct competition with existing private mass transportation providers.

FTA does not prescribe a specific private sector participation process. However, you will need a process in place to ensure that other organizations providing service in your area are aware of your intentions. This can be accomplished through your coordination efforts or by holding a public hearing prior to submitting an application for your project.

Care should be taken when expanding your transportation services. If you are planning new service, it is important to contact any private providers that may be operating in that area. This may take the form of a legal ad or a written notice to the other providers requesting a response. Failure to involve private sector transportation providers may result in complaints filed with WSDOT and/or FTA alleging unfair competition.

Note: For information on how complaints should be handled, see “Complaints-Unfair Competition.”

Charter Requirements

If your organization receives federal funds for any of your projects, before proceeding with any charter operations you should review the detailed requirements found in 49 CFR 604 located in the reference manual that accompanies this guide.

Note: Charter requirements do not apply to organizations that were awarded FTA 5310 grants.

Organizations awarded 5309, 5311, 5311(f), or JARC grants are not allowed to use FTA funds or equipment and facilities purchased with those funds for charter services unless one or more of the following exceptions apply:

- There are no private charter operators willing and able (having the desire and capability) to provide the charter service being proposed. To determine if there are any private charter operators that are “willing and able” to provide the services, you must conduct a public participation process at least 60 days before you begin providing charter services. Refer to 49 CFR 604 for the procedures on how to determine if there are any “willing and able” private charter operators. WSDOT staff will provide technical assistance in this matter upon request.

- Your organization may enter into a contract with a private charter operator to provide charter equipment to or service for the private charter operator if:
 - The private charter operator is requested to provide charter service that exceeds its capacity; or
 - The private charter operator is unable to provide equipment accessible to elderly and persons disabilities.
- Your organization may petition FTA for an exception to provide charter service directly to the customer if the charter service provided by the “willing and able” private charter operator(s) would create a hardship on the customer because:
 - The “willing and able” private charter operator(s) impose minimum trip length and the desired trip length is shorter than the minimum trip length; or
 - The “willing and able” private operator(s) are located too far from the origin of the charter service to be provided.
- Your organization may petition FTA for an exception to provide charter service directly to the customer for special events to the extent that private charter operators are not capable of providing the service.
- Your organization may provide charter service directly to the customer if a formal agreement has been executed between your organization and all private charter operators that you have determined to be “willing and able.”

Note: The “willing and able” process must be repeated each year of your project. For vehicles, other equipment, and facilities, this may span a period of several years, or as long as WSDOT retains legal ownership of any vehicles or interest in other equipment and facilities.

School Bus Provisions

This section applies only to organizations that were awarded FTA funding. Organizations awarded FTA funding are prohibited from providing school bus transportation. School bus transportation is defined as “transportation by bus **exclusively** for school students, personnel, and equipment.” Specific details about this regulation can be found in 49 CFR Part 605 located in the reference manual that accompanies this guide.

DBE Requirements

This section applies only to organizations that were awarded FTA funding. As a condition of receiving federal funds, all organizations must make efforts to purchase from Disadvantaged Business Enterprises (DBEs). However, the level of effort for your organization will depend on the combined total of all of the FTA funds received during a calendar year. Public Transportation and Commute Options (PT&CO) staff will provide you with technical assistance on meeting our DBE requirement. You may also contact WSDOT’s Office of Equal Opportunity at (360) 705-7085.

Is a DBE Plan Required?

If your organization intends to award a contract(s) cumulatively exceeding \$250,000 in FTA funds (exclusive of passenger service vehicles) during the federal fiscal year, a formal DBE plan is required. To accomplish this, you will need to:

- Develop and implement a formal plan for purchasing from DBE vendors.
- Establish formal DBE purchasing goals.
- Obtain approval of your plan from FTA.
- Submit annual reports to the WSDOT's PT&CO on DBE purchases and goal attainment.

Your organization may elect to adopt WSDOT's DBE plan instead of developing your own. If you choose to take advantage of this option, you must notify the PT&CO advising them of your intentions. You may also set project specific goals in lieu of a formal DBE plan. However, prior approval from FTA will be required.

Note: The \$250,000 threshold applies to all FTA funds used for contracting in a federal fiscal year (October through September), except projects awarded for the purchase of passenger service vehicles. WSDOT's DBE Plan can be found on the Internet at <http://www.wsdot.wa.gov/oeo>

If a Plan Isn't Required, What Do I Do?

Organizations who are not required to develop and implement a DBE plan are expected to make good faith efforts to purchase from DBE vendors. Your organization is expected to make all reasonable attempts to locate and purchase from DBE vendors. To meet this requirement, the following steps should be taken:

- When advertising for contracted goods or services, your invitation to bid/quote must include a statement encouraging DBE vendors to submit a bid/quote on the project.

Note: If you receive bids/quotes from DBEs that are not the lowest price, you may purchase from the lowest priced non-DBE vendor only if the price bid/quoted by the DBE vendor is more than 5 percent higher than your lowest price bid/quote. If you don't receive any bids from DBE vendors, you may award the contract according to your normal purchasing procedures.

- Place ads in any local minority newspapers.
- Actively seek DBE vendors. This can be done by obtaining a directory from the Office of Minority and Women Owned Business Enterprises (OMWBE) or contacting equivalent agencies in neighboring states.

Note: The OMWBE directory is available on the Internet at <http://www.omwbe.wa.gov/directory/directory.htm>

- Encourage eligible businesses to become certified.

- **Document** all your efforts.
- Submit annual reports detailing the total purchases made from DBE vendors and/or what good faith effort you have made to the appropriate staff member listed on page xi of this guide.

Disabled Persons' Employment, Public Accommodation, and the Americans with Disabilities Act (ADA)

It is important that the services you provide to the public and your hiring practices do not discriminate against persons with disabilities. This section will provide an overview of the basic information you need to make sure that your organization is in compliance with federal and state laws regarding employment and services to persons with disabilities. Copies of the federal and state laws covering this topic can be found in the reference manual that accompanies this guide. Those laws include:

- 49 CFR Part 27, Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting From Federal Financial Assistance
- 49 CFR Part 37, Transportation Services for Individuals with Disabilities (ADA)
- RCW 49.60.030, Freedom From Discrimination – Declaration of Civil Rights

The federal requirements state that, “no qualified disabled person shall be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity that receives or benefits from federal financial assistance, administered by the US Department of Transportation, solely on the basis of their disability.” This applies to employment opportunities and the services provided by your organization.

The state Freedom From Discrimination law provides persons with disabilities additional rights. Those rights include, but are not limited to:

- The right to obtain and hold employment without discrimination.
- The right to full enjoyment of any of the accommodations, advantages, facilities, or privileges of any place of public resort, accommodation, assemblage, or amusement.

Regardless of the type of funding awarded or project you are managing, your organization needs to ensure that you are not discriminating against persons with disabilities. Below is an overview of some information you need to know to ensure you are in compliance with the requirements.

Do My Employment Practices Discriminate Against Persons With Disabilities?

Ensuring compliance in your employment practices includes a range of activities:

- The hiring process must include:
 - Procedures on how interviews are conducted. It is illegal to ask someone in an interview if they are disabled, the nature of their disability, or what accommodations would need to be made.

- Clearly written job descriptions. If you have positions that include duties with physical responsibilities, make sure the responsibilities are clearly defined in the job description. You cannot disqualify someone on the basis of his or her inability to perform a function of the job if it is not identified in the job description.

Note: When you describe the physical responsibilities of a position, make sure it realistically represents what is required of a person performing that type of work. Placing unnecessary physical responsibilities in a job description may make your hiring practices discriminatory. For example, it is not appropriate to require a secretary to be able to drive a bus.

- While employed, reasonable accommodations must be made.

What are Reasonable Accommodations?

Reasonable accommodations consist of minor equipment purchases and/or facility modifications that enable the employee to work. These should not cause financial hardship to your organization. Reasonable accommodations may include, but are not limited to:

- Purchasing a magnification tool for a visually impaired employee's computer.
- A person who is disabled due to a back injury may need a special chair or an elevated workstation.
- Rearranging your office area, workstations, and employee rest rooms to make sure a person in a wheelchair can gain access.

Do Our Services Meet ADA and Public Accommodations Requirements?

The services you provide to persons with disabilities must be at least equal to the services you provide to non-disabled persons. All organizations awarded grant projects through WSDOT are required to be in full compliance with the Americans with Disabilities Act (ADA) on the first day of services under the project.

Requirements for Fixed Route, Route Deviated, or General Dial-a-Ride Services

Complying with ADA requirements means you need to make sure your services are designed in a manner that enables persons with disabilities to access them. This can be accomplished in various ways:

- If you provide fixed route service:
 - Make sure that all the vehicles used for the service are equipped with ramps or wheelchair lifts, and securement stations, and are ADA compliant.
 - You must provide complementary paratransit service that extends at least 3/4 of a mile on both sides of fixed routes.
 - Ensure that all drivers announce stops along the route.

- If your organization has policies in place where persons with disabilities must apply and be “qualified” for complementary paratransit service, make sure that the procedures you use are complete and take into consideration the applicant’s functional ability or inability to access a fixed route.
- If you provide general public dial-a-ride service, persons with disabilities must also be able to access that service.

Note: Under this scenario, the reservation requirement for persons with disabilities must be the same as those for the general public.

- You may choose to provide route deviated service. This is a fixed route designed to deviate off the route to pick up a passenger and then return to the route.

Requirements for Intercity Bus Service

Because of the nature of Intercity Bus service, the requirements are slightly different. Complementary dial-a-ride or route deviated services are not required. However, the vehicles and facilities you use when picking up passengers must be ADA accessible.

What Do I Need to Know About Service Animals?

Under ADA, your organization is obligated to allow service animals to accompany persons with disabilities both on your passenger service vehicles and in your facilities.

Definition of Service Animal

Most people think of a service animal as a dog that assists a visually impaired person. However, that is not always the case. Service animals come in a variety of forms. The only qualification is that the animal be trained to perform a task for a person with disabilities. Service animals are defined by the U.S. Department of Transportation as any guide dog, signal dog, or other animal individually trained to work or perform tasks for an individual with a disability, including but not limited to:

- Guiding individuals with impaired vision,
- Alerting individuals with impaired hearing to intruders or sounds,
- Providing minimal protection or rescue work,
- Pulling a wheelchair, or
- Fetching dropped items.

How to Tell the Difference Between a Service Animal and a Pet

Many service animals wear special collars or harnesses, or are certified and have identification papers. If you are uncertain if a specific animal is a service animal or a pet, you may ask a person with an animal if it is a service animal needed for a disability. However, you may not ask the person for proof.

Where Can I Find Additional Information?

Detailed information about the regulations are outlined in 49 CFR Part 27, *Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance*, and 49 CFR Part 37, *Transportation Services for Individuals with Disabilities (ADA)*. Copies of these regulations can be found in the reference manual that accompanies this guide.

To get more information on ADA requirements:

- Refer to the “Thomas Guide to ADA”; or
- Contact the Governor’s Office on Disability Issues and Employment, ADA Clearinghouse at (360) 438-3168 or 1-800-949-4232.

Sensitive Information

As a public transportation provider and an employer, you often deal with confidential information about employees and your customers. There are certain laws and regulations that restrict the type of information you are allowed to release. In addition, some agencies that provide matching funds to your organization may require specific policies regarding sensitive or confidential information.

Customer’s Right to Confidentiality

Confidentiality should be reviewed regularly in each program. Drivers and dispatchers often know or become familiar with riders. This is particularly true with special needs transportation service. While it is desirable to establish a positive relationship with riders, it is important to safeguard any personal information to avoid violating a person’s right to confidentiality. Below are examples of violations of confidentiality and recommended actions to avoid such violations:

- **Violation Issue** – Information received from or about riders is repeated to persons other than the manager. Riders may confide in a trusted employee and it is tempting to share this information with others.
- **Recommended Practice**
 - Encourage employees to share their concerns with the manager, not with other drivers, family, or friends. Only information the manager “needs to know” can be communicated. Names of individuals receiving service from a program must not be shared with anyone outside your organization.
 - Information about a rider must not be shared, unless it is necessary to obtain needed services and the rider has given written consent. If a rider is not able to give permission to share information for their well being, the employee and the manager should use their best judgment to share information only to ensure that needed services are provided.

Note: Under some circumstances, the transportation employee is required to share information. This applies when it relates to suspected abuse of children or vulnerable adults. If abuse is suspected, this information must be conveyed to the manager, but not to other drivers, family, or friends.

Employee's Right to Confidentiality

Employees are often required to share confidential information with their supervisor and/or manager. A manager often receives information regarding an employee's medical condition for leave issues or the results of a drug and alcohol test. This information should not be shared with anyone that is not authorized to receive the information under federal and/or state regulations.

To avoid violating an employee's right to confidentiality, your organization should have clear procedures in place to address how sensitive information may and may not be shared with others.

Personnel Policies

There are a variety of personnel policies required for all organizations. This section provides information on what is expected by WSDOT and FTA.

What About Employee Conduct?

This section applies to organizations that receive FTA funds. However, WSDOT considers the policies outlined in this section as best practices. If your organization receives FTA funds, you are required to have written personnel policies in place which address:

- How employees are to conduct themselves.
- What constitutes misconduct.
- Disciplinary procedures.
- The course of action that must be taken if someone believes there is a violation of the policies.

Your organization is also required to establish written policies to keep the work environment free from harassment, coercion, and intimidation of any form. The policy should include the following elements:

- A definition of behavior that constitutes harassment, intimidation, or coercion.
- The process for filing a claim.
- The process used to investigate claims.
- Disciplinary action and corrective measures that will be taken.

Note: For more information about these requirements, refer to your agreement with WSDOT and 49 CFR Part 18, or 49 CFR Part 19, whichever is applicable to your organization. Copies of the Code of Federal Regulations (CFR) can be found in the reference manual that accompanies this guide.

What Ethics Policies are Required?

This section applies to organizations that receive FTA funds. However, WSDOT considers the policies outlined in this section as best practices. If your organization was awarded FTA funding, you are required to develop and implement policies and procedures specific to ethical conduct of your employees, officers, board members, or agents. The policies must include:

- Written Code of Ethics
- Debarment and Suspension
- Bonus or Commission
- Restrictions on Lobbying
- Employee Political Activity
- False or Fraudulent Statements and Claims

Written Code of Ethics

The Code of Ethics establishes standards of conduct for employees, officers, board members, or agents of your organization involved with your FTA project. The required Code of Ethics must cover:

- Gifts and Gratuities
- Personal Conflict of Interest
- Organizational Conflict of Interest
- Penalties for Violations of the Code of Ethics

Gifts and Gratuities

In relation to your FTA project, neither your employees, officers, board members, or agents of your organization may accept or solicit gifts, gratuities, favors, or anything that has a monetary value from current or potential subcontractors. However, you may set minimum rules where a gift is unsolicited and of nominal value.

Personal Conflict of Interest

Personal Conflict of Interest policy prohibits your employees, officers, board members, or agents of your organization from participating in the selection, award, or administration of a contract if there is a perceived or real conflict of interest. A conflict of interest would arise when an employee, officer, board member, or agent of your organization has a financial or other interest in the entity submitting a bid/quote or selected for an award, or if the entity is owned or operated by:

- The employee, officer, board member, or other representative.
- Any member of their immediate family.
- Their partner(s).
- An organization that employs or is about to employ any of the above.

Organizational Conflict of Interest

In addition to personal conflict of interest, you must also establish policies to avoid any organizational conflicts of interest. This type of conflict exists when the nature of the work to be performed under a proposed contract may, without some restrictions on future activities, result in an unfair advantage to a specific contractor or impair their objectivity in managing the subcontract. Examples of organizational conflict of interest include, but are not limited to:

- Disclosure of information related to an upcoming call for projects that is not provided to all potential bidders at the same time.
- Getting assistance from a potential subcontractor in development of specifications or a request for proposals.

What About Bonus or Commission and Restrictions on Lobbying?

In addition to the Code of Ethics, your organization will need to implement procedures to ensure you do not pay any bonus or commission to anyone in order to obtain the award of a grant project.

If your organization receives FTA funding, you also need policies in place to ensure no one in your organization uses federal funds for the purpose of lobbying in connection with the award of a FTA project. In addition, if you use any of your own funds for lobbying purposes, you are required to report your lobbying activities to FTA on form LLL. For a copy of that form, contact the FTA at (206) 220-7954.

What are the Restrictions on Employee Political Activity?

The employees and representatives of your organization are not allowed to use resources paid for with grant funds for political purposes. This includes, but is not limited to:

- Personal campaign posters posted on grant funded equipment and/or facilities.
- Charging reproduction costs of political materials to a grant project.
- Using grant funded resources to support or oppose a current ballot measure.

What About False or Fraudulent Statements and Claims?

All information you provide to WSDOT must be, to the best of your knowledge, accurate and complete. There are severe penalties for falsifying information about a grant funded project.

Note: For more detailed information about the ethics requirements, please refer to the “Ethics” clause in your agreement with WSDOT and in federal regulations 31 U.S.C. Subsection 3801 and 49 C.F.R. Part 31.

Passenger Code of Conduct

For the protection of your organization and your employees, it is highly advisable to develop and implement a written passenger code of conduct that is distributed to all passengers. The passenger code of conduct should include:

- What constitutes unacceptable behavior.
- Under what conditions you will allow (or not allow) food or beverages on your vehicle(s).
- The consequences of violating the code of conduct.
- If service is discontinued to a passenger, what steps they must take to regain service.

- How to file a complaint if someone feels that they were unfairly refused service.

When developing your passenger code of conduct, it is important that you include reasonable expectations that are not discriminatory.

Other Regulations

There are other requirements for your personnel policies. More detailed information can be found in the following state and federal regulations:

- Title VI, Civil Rights Act
- Section 504, Rehabilitation Act of 1973
- The Federal Transit Act
- RCW 9.91.010

Complaints

There are numerous types of complaints that may be received by your organization. All complaints must be investigated immediately and, if necessary, action taken to correct the problem. The information below will help you determine what course of action should be taken. You may receive complaints alleging discrimination in the provision of your services, employment practices, or a perceived misconduct of your employees, officers, board members, or agents representing your organization. This section will provide an overview of the types of complaints, entities who may receive those complaints, and requirements and best practices on how to address complaints.

Who May File Complaints?

Complaints alleging discrimination or misconduct may be filed by a variety of individuals or organizations, such as:

- Employees
- Customers
- Bidders/Suppliers
- General Public

What Agencies May Receive Complaints?

Most complaints will be received directly by your organization. However, individuals may file their complaints with federal or state agencies and labor unions. The state and federal agencies that may receive complaints include, but are not limited to:

- Washington State Agencies
 - Department of Transportation
 - Utilities and Transportation Commission
 - Attorney General's Office

- Department of Social and Health Services
- Department of Labor and Industries
- State Auditor's Office
- Federal Agencies
 - Human Rights Commission
 - Department of Labor
 - Federal Transit Administration
 - Equal Employment Opportunity Commission
 - Department of Justice

These agencies may also receive complaints from individual(s) who feel their issues were not adequately addressed or their problem was not resolved.

If a complaint is received by WSDOT, it will be forwarded to your chief executive officer for resolution. WSDOT will expect that the complaint receive immediate investigation and action. However, if the complaint is filed against your chief executive officer, WSDOT will conduct its own investigation.

Requirement and Best Practices for Handling Discrimination and Misconduct Complaints

To help safeguard your organization from complaints, you should communicate your personnel policies to all employees and make sure they understand what types of behavior are unacceptable as well as corrective action that may occur.

In order to maintain credibility and insure your ability to continue as a contractor or grantee of WSDOT, all written complaints must be dealt with immediately. You need to have procedures that address the course of action that will be taken if and when complaints arise. If you don't have procedures in place, you must develop and incorporate them into your organization's administrative and personnel policies. The procedures should include:

- A requirement that the complaint be put in writing and include the alleged offense and circumstances.
- How the complaint will be investigated, including confidentiality.
- Corrective action.
- Issuance of findings.
- Notification to the person filing the complaint, informing them of your findings and what corrective measures were taken.
- Retention of the working file for each complaint received (this file must be retained for six years beyond the end of your FTA project).

What About Unfair Competition?

If your services were expanded and it resulted in a decline of business for a private sector transportation provider, you may receive complaints alleging unfair competition. Organizations are required to have procedures in place to process and respond to any complaints received. The procedures should include the following elements:

- Person(s) assigned the responsibility of receiving, investigating, and responding to these complaints.
- An appeal process if the individual or organization filing the complaint is not satisfied with your response. The appeal process must identify a mediator or mediation panel that does not include employees or board members of your organization.

If either party is not satisfied with the mediator's decision, they may appeal the decision to WSDOT. Appeals must be filed with the manager of the PT&CO Office within 30 days of the mediator's decision and include the following:

- An original signature of the chief executive officer of the entity filing the appeal.
- The grounds under which the appeal is being filed.
- A copy of the mediator's decision.

A copy of the appeal must be sent by the entity filing the appeal to the other party involved. Once the manager of the PT&CO Office receives the appeal, he/she will review the decision and the procedures followed from the time the initial complaint was received by your organization. Following review, the manager of the PT&CO Office will issue a determination on the appeal.

Can Displaced Employees of Other Transportation Providers File Complaints?

Employees of other transportation providers may file complaints if they were laid off or as a result of decline in their employer's business that they feel was caused by the expansion of your transportation services. As with other complaints, it is important to handle the issue immediately. If you were awarded a 5309, 5311, 5311(f), or JARC (3037) project, you are also subject to the 5333(b) Labor Protections. Under 5333(b), you have the responsibility of accommodating any employees that are displaced as a result of expanding your services. This may include, but is not limited to, the following:

- Hiring the displaced employee in an equivalent pay range, or
- Provide training for the displaced employee to seek work in another field.

Complaints of this nature may also be filed directly with the U.S. Department of Labor. For more information on the Requirements of Section 5333(b) Labor Protection, see Chapter 1 "Labor Compliance Issues" and the *Rural Transportation Employee Protection Guidebook* in the reference manual that accompanies this guide.

Safety, Security, and Emergency Management

In any public transportation program, safety and security is, and should be, a primary concern. Every day, your organization is trusted with providing safe and reliable transportation to the general public and persons with special needs. Due to unfortunate events in the world, this is even more important. Public transportation providers are now faced with increasing security issues as well as traditional safety concerns.

This section is designed to provide guidance on meeting federal requirements as well as recommendations for ways to enhance the safety and security of your system. In the pages to follow, you will find information on:

- Drug and Alcohol Testing
- Bus System Safety and Security
- Emergency Management

Drug and Alcohol Testing

FTA drug and alcohol testing requirements and regulations may seem overwhelming. However, WSDOT staff will provide technical assistance to your organization. The information below is meant to provide an overview of the requirements and what is expected of your organization. For detailed compliance information, FTA published comprehensive guidelines and a best practices guide that includes sample policies and forms. These documents are:

- Implementation Guidelines for Drug and Alcohol Regulations in Mass Transit (revised August 2002)
- Best Practices Manual: FTA Drug and Alcohol Testing Program (published March 2002)

Note: If your organization is required to have a drug and alcohol testing program, WSDOT will provide your drug and alcohol program manager with the applicable guideline(s). These documents are also available on the Internet at <http://www.transit-safety.volpe.dot.gov/publications/>

Who Must Have a Program?

If your organization receives FTA 5309, 5311, or JARC (3037) funding through WSDOT, you are required to have a drug and alcohol testing program that complies with 49 CFR Part 40 and 49 CFR Part 655. If your organization does not receive FTA funding but operates vehicles that require commercial driver's licenses, you must conduct testing in accordance with the USDOT Motor Carrier Services Administration (FMCSA) under 49 CFR Part 40 and 49 CFR Part 382.

For more information about FMCSA requirements, check the USDOT website at <http://www.dot.gov/ost/dapc/oamanagers>

How Do Organizations Comply With the FTA Requirements?

Each organization that is required to have a drug and alcohol testing program must develop and implement a drug and alcohol testing policy that applies to all safety sensitive employees and their immediate supervisors. Your organization's

board must adopt the policy (in the case of a private for profit organization, the policy must be signed by the organization's chief executive officer). The policy must be submitted to WSDOT for approval. In addition, your organization will be required to submit annual reports on your testing program.

What Must the Policy Include?

The FTA regulations are very specific about the minimum contents of the drug and alcohol testing policy. Those elements are detailed in 49 CFR Part 655. In addition, your organization's policy must identify which portions of the policy are covered under the FTA and U.S. Department of Transportation (USDOT) regulations and which elements are included under your organization's authority.

FTA allows organization's to refer to the regulations instead of providing detailed information about each element of the policy. However, if your organization chooses to do this, a copy of the regulations must be readily available to employees. While this practice is allowable, it is not necessarily advisable. Your organization should take care when writing the policy to ensure that employees clearly understand what it contains and how this impacts them. Sample policies are available in FTA's *Best Practices Manual*.

What State Laws Do I Need to Know About?

The 2005 Legislature amended RCW 46.25 to require employers subject to drug and alcohol testing under 49 CFR Part 655 to report positive test results on employees and applicants who hold CDL licenses to the Department of Licensing (DOL). The reports must be submitted on the form provided by DOL. The positive test results must only be reported under the following circumstances:

- The positive result was from a pre-employment test;
- The driver was terminated or resigned;
- Any grievance processes are completed, up to but **not** including arbitration; and
- At the time of termination or resignation, the driver has not been cleared to return to safety sensitive functions.

Note: The test must be submitted to DOL within three days of the above conditions being met. For the purposes of RCW 46.25, test refusals are considered to be positive test results.

Which Employees are Subject to Testing?

Your organization must test all employees that perform safety sensitive duties and those who supervise safety sensitive employees. FTA defines safety sensitive duties as:

- Operating a passenger service vehicle, whether or not the vehicle is currently in service.
- Operating a vehicle that requires a Commercial Driver's License.
- Controlling dispatch or movement of a vehicle.
- Performing maintenance on a passenger service vehicle.
- Carrying a firearm for security purposes.

What Drugs are Covered by the Test?

Your organization's testing program must cover the following drugs:

- Marijuana
- Cocaine
- Opiates
- Amphetamines
- Phencyclidine

What Type of Training is Required?

All safety sensitive employees must receive 60 minutes each of training on the effects of drug and alcohol use in the workplace. This training must also include information about your organization's drug and alcohol testing program and policy. In addition, the person(s) designated by your organization to make reasonable suspicion determinations must receive training on the physical, behavioral, and performance indicators of probable drug use and alcohol misuse.

In addition to the required training, your drug and alcohol program manager should receive training on the FTA requirements. This training is available through the Transportation Safety Institute (TSI). Information about their training calendar can be found on the Internet at <http://www.tsi.dot.gov/>

Additional training may be available through the Washington State Transportation Training Coalition (WSTTC). Information about WSTTC can be found on the Internet at <http://www.wsttc.org> or you may contact them by phone at (360) 586-1800.

When are Drug and Alcohol Tests Conducted?

FTA requires six categories of substance abuse testing be conducted. The following is a list of the testing categories. For detailed information about each category, please refer to FTA's implementation guidelines and 49 CFR Part 655.

- Pre-employment
- Reasonable Suspicion
- Post Accident
- Random
- Return to Duty
- Follow-up

Note: If your organization has a zero tolerance policy, you are not required to conduct return to duty or follow-up testing. However, if you hire someone who violated the FTA and USDOT regulations while working for a previous employer, you must ensure that the person has completed a treatment program recommended by the employer's Substance Abuse Professional (SAP) and make arrangements for the required follow-up testing.

What Happens if an Employee Tests Positive?

If one of your employees receives a confirmed positive drug test or tests positive for alcohol with a concentration of .04 or greater, the employee must be immediately removed from safety sensitive duty and referred to an appropriate Substance Abuse Professional (SAP). You may not allow the employee to return to safety sensitive duty until they complete the return to duty process. For detailed information on the return to duty process, refer to FTA's implementation guidelines and 49 CFR Part 40, Subpart "O."

Note: If an employee tests positive for alcohol with a concentration of between .02 and .039, you must remove them from duty until:

- They test with a concentration below .02, or
- Their next duty shift but not less than eight hours following the test.

What are the Pre-employment Requirements?

There are three steps related to the drug and alcohol program that must be done during the hiring process. Below is basic information about those steps. For detailed information about each requirement, refer to the FTA implementation guidelines or 49 CFR Part 40.25.

- You must ask the prospective employee if they have ever tested positive or refused to test on any pre-employment drug or alcohol test administered by an employer covered by USDOT regulations. If the answer is yes, additional steps must be taken.
- If the prospective employee has worked for an organization covered by USDOT regulations in the past two years, you must obtain the drug and alcohol testing information from those employers.
- The prospective employee must submit to a pre-employment drug test at your direction. A negative test result must be obtained prior to placing the person in safety sensitive duty.

What About Prescriptions and Over the Counter Medications?

FTA does not currently require organizations to include over the counter drugs and prescriptions in their drug and alcohol program. However, some medications cause side effects that can create safety issues for your organization. For this reason, FTA strongly recommends that organizations include information about the use of prescriptions and over the counter medicines in their drug and alcohol testing policy.

In March 2003, FTA published a tool kit to assist organizations in developing policies and practices as well as educating their employees about the use of prescription and over the counter medicines. A copy of the tool kit is available online at <http://www.transit-safety.volpe.dot.gov/publications>

Where Can I Get Help?

Technical assistance in compliance with the FTA Drug and Alcohol Testing Program is available by contacting the WSDOT staff member listed on page xi of this guide. In addition, many local transportation providers are willing to provide technical assistance and allow other organizations to send their employees to training courses they may be sponsoring. However, if you choose to send your employees to another organization for the required training, you will still need to provide training on issues related to your organization's specific policy.

Bus System Safety

The safety of the riding public is a primary concern to WSDOT. The public expects transportation providers to supply safe and reliable transportation. In addition, having a good system safety plan may help to reduce insurance rates for your organization.

Is a Bus Safety Program Required?

Currently, neither WSDOT nor FTA mandates a formal system safety program. However, developing a plan is strongly encouraged. In addition, many funding agencies require minimum safety standards and specific training for drivers including volunteers. You should check with the agencies that provide funding to your organization for specific information about their requirements.

What Should a Safety Plan Include?

A system safety plan may take a variety of forms. However, for a program to be effective, it should contain the following elements:

- Support of the organization's senior leadership
- Accident prevention program
- Worker's compensation
- Employment practices
- Preventing violence in the workplace
- Training
- Dispatch issues
- Accident investigation and review
- Vehicle inspections
- Preventative maintenance
- Emergency management

The Washington State Transit Insurance Pool developed best practices guides for bus operations and vanpool safety. Copies of these guides are available to the public online at <http://www.wstip.org/services/services.html>

What Should I Know About Using Personal Automobiles for Passenger Transportation?

Under state law, there are minimum requirements for personal automobiles used to provide passenger transportation services. The requirements state that the personal autos shall:

- Have a valid state license and registration.
- Be equipped with functional heating and ventilation systems.
- Have functioning, clean, accessible seat belts that meet state and federal guidelines.
- Have functional doors and handles on all doors.
- Have an accurate speedometer and odometer.
- Have windows free from cracks; windshield chips must be properly sealed and not hinder vision.
- Have functioning interior lighting within the passenger compartment.
- Have adequate sidewall padding and ceiling covering.
- Have two exterior rear view mirrors, one for each side of the vehicle.
- Not have damaged or broken seats, protruding sharp edges, etc., that may be hazardous to riders.
- Have fully functioning lights, turn signals, and windshield wipers.
- Have tires with tread depth exceeding state minimums.

What About Volunteers?

Special care should be made when screening volunteers to provide passenger transportation. In December 2002, the Agency Council on Coordinated Transportation (ACCT) published the *Volunteer Drivers – A Guide to Best Practices*. The guide contains useful information about managing a volunteer driver program including safety measures that can or must be taken when selecting a volunteer driver. To receive a copy of the guide, contact one of the staff members listed on page xi of this guide. You may also access the guide on the Internet at <http://www.wsdot.wa.gov/transit/vdg/default.htm>

Bus System Security

Even though a formal system security plan is not yet required, security has always been important to the public transportation industry. Because of recent events in the United States, it is more important than ever that public transportation providers take measures to protect themselves and the passengers they serve. Each organization is encouraged to develop a security plan.

Note: The contents of your vulnerability assessment safety and security plans discussed in the next section are not subject to public disclosure laws under state law (RCW 42.17.130).

Crime Prevention

Public transportation providers must regularly address various types of crime. Theft, vandalism, violence, and other illegal activities can each present a unique challenge. However, taking some simple steps can dramatically reduce the occurrence of crimes against your organization.

- Develop and implement policies and procedures on:
 - Violence in the workplace,
 - Vehicle and facility security,
 - Reporting crime to the proper authorities.
- Provide training to employees on your policies and procedures.
- Restrict access to your organization's facility.
- Park vehicles in locked areas.

How Do I Protect My Organization From Acts of Terrorism?

Public transportation providers need to be concerned about crime on their vehicles or in their facilities, as well as the threat of terrorism. On the national level, public transportation is not seen as a primary target for a terrorist act, but it is seen as a method of delivery. The services provided by public transportation organizations are typically open to the general public, and providing access to highly populated areas, such as shopping malls. Unlike the airline industry, your organization cannot send passengers and their baggage through a screening system. The information to follow will assist you in protecting your organization and the public.

Vulnerability Assessments

The first step in protecting your organization from acts of terrorism is to identify your organization's critical assets (facilities without which your organization either could not operate or operations would be significantly hampered). Typically, vulnerability assessments consist of a rating with points assigned to each of the following elements:

- Critical asset factor (determining the extent that a particular asset is critical to your operations)
- Deter and defend factors
- Loss and damage consequences
- Consequences to public service
- Consequences to the general public

Training on conducting vulnerability assessments and developing your safety and security plan is available through the National Transportation Safety Institute. Information about that training is available online at <http://www.tsi.dot.gov/>

For additional information and technical assistance in conducting vulnerability assessments, contact WSDOT's Safety and Asset Management Specialist listed on page xi of this guide.

What Measures Can I Take to Enhance Security?

Once you have completed a vulnerability assessment, you will want to develop and implement ways to reduce your vulnerability. The method your organization uses will depend on the type of asset you are trying to protect. Some common measures taken by public transportation providers include:

- Restricting access to non-public areas of your facilities (i.e., operations center, maintenance, etc).
- Periodic vehicle and/or facility inspections throughout the day/route to identify any suspicious packages.
- Awareness training for employees and supervisors.

Emergency Management

Managing and responding to emergencies is a multi-faceted issue. Your role will depend on the type of emergency and whether or not the emergency is internal to your organization or is an external or regional emergency.

Internal Emergencies

No matter how many safety precautions you may take, inevitably your organization may be involved in an emergency situation, such as a traffic accident. For that reason, it is advisable to have an emergency procedure in place and train your employees on necessary actions to take.

State and Regional Emergencies

Public transportation providers can play an integral role in responding to emergencies. This is particularly true in the case of an emergency involving the evacuation of people from an area or transporting emergency response workers. The role of a public transportation provider will differ based on the type of emergency.

All organizations are encouraged to become involved with their local emergency response agencies. In rural areas, emergency response agencies are typically part of county government, while in urban areas, they are often part of city government. Often, emergency response managers are unaware of your services and the resources and/or assistance you can provide.

Many public transit systems are part of WSDOT's Mutual Aid Emergency Response Agreement. The Agreement facilitates aid provided between transit agencies that are a party to the Agreement and between those transit agencies and WSDOT.

Where Can I Find Help?

WSDOT has staff available to assist your organization in developing your organization's policies and procedures related to system safety, security, and emergency response. Other public transportation providers may also be able to provide assistance. If your organization needs training, there are a variety of resources available:

- National Transit Institute (<http://www.ntionline.com>)
 - System Security Program Overview
 - System Security Awareness for Transit Employees (training available on CD Rom)
 - Security Incident Management for Transit Supervisors
- Transportation Safety Institute (<http://www.tsi.dot.gov>) – provides a wide range of public transportation safety and security training, including:
 - Transit System Safety
 - Transit System Security
 - Effectively Managing Transit Emergencies
 - Fundamentals of Bus Collision Investigation
 - Substance Abuse Management and Program Compliance

Washington State Transportation Training Coalition (<http://www.wsttc.org>) also sponsors a variety of training courses in the safety and security arena. The specific courses scheduled are dependant on the needs expressed by public transportation providers in Washington State.

Coordination and Community Outreach

Coordination is required by all grant contracts issued under the consolidated grant process. In 1998, the Washington State Legislature created the Agency Council on Coordinated Transportation (ACCT). State law (RCW 47.06B.010) requires ACCT to facilitate the coordination of transportation for persons with special transportation needs. The Legislature also requires specific state agencies to develop policies that encourage the coordination of special needs transportation. The Legislature stated “...the public transportation agencies, pupil transportation programs, private non-profit transportation providers, and other public agencies sponsoring programs that require transportation services coordinate those transportation services...” A copy of the state law can be found in the reference manual that accompanies this guide.

In response, ACCT has been working with communities to develop local coordinating coalitions. If you have a coordinating coalition in your community, keep them up to date on your project and be open to modifications using coordination that would create a more efficient use of public transportation and be able to demonstrate the effectiveness of that modification. To find out if there is a local coordinating coalition in your community, see <http://www.wsdot.wa.gov/acct>

If no coordinating coalition exists in your community, make arrangements to inform your local public transportation providers and social service organizations about your project on an ongoing basis. Good organizations to contact include, but are not limited to, Senior Service Centers, Community Action Programs, local Medicaid Brokers, local Transits, and WorkFirst Local Planning Areas. If you are interested in developing a local coordinating coalition, contact the WSDOT staff members listed on page xi of this guide.

Marketing is Important

Marketing your service is required by the FTA and is highly recommended by WSDOT. It is also an important tool in ensuring the success of your project. In this section, you will find minimum requirements and suggestions on how to enhance your marketing strategies.

What are the Minimum Requirements?

The minimum requirements are fairly simple. The services you provide must be marketed to the target population applicable to the grant program governing your project.

Who Should the Services be Marketed To?

Who your services are marketed to will depend on the type of project funding you were awarded. Below are the target populations associated with each program.

- **FTA 5310 Program** – Your marketing efforts must be directed to persons with special transportation needs.
- **FTA 5311 or 5311(f) Program** – Your services must be marketed to the general public.
- **Paratransit/Special Needs** – Your services must be marketed to persons with special transportation needs.
- **Rural Mobility Program** – Your services must be marketed to the general public in rural areas.
- **JARC** – Your services must be marketed to persons of low income providing access to employment or employment-related services.

How Should the Services be Marketed?

Your services can be marketed in a variety of ways. Below are some low cost suggestions on how to inform the community about the services you provide.

- Publish flyers, schedules, and service area maps and distribute them throughout your community. You may want to consider placing these at:
 - Medical facilities
 - Community centers
 - Sheltered workshops
 - Grocery stores
 - Senior centers
 - Group homes
 - Multimodal facilities
 - Post office
 - Social service offices
 - Schools

- Develop and distribute trip planners that instruct the rider on how to reach popular destinations by bus.
- Place public service announcements on local radio stations.
- Advertise in the local newspaper.

Note: When advertising in the newspaper, it is important that the ad is placed where everyone is likely to see it. It is not appropriate to advertise general public services only in the senior section of the newspaper.

- Post schedules on your website.
- Encourage local media to feature articles in the newspapers.
- Place appropriate markings on your vehicle(s) that state your service is open to the public and a phone number for people to call for information.

Are Expenses for Marketing Grant Eligible?

If you were awarded operating funds, the expenses for marketing your service are eligible and may be included in your invoice when you submit your request for reimbursement.

How Should Vehicles be Marked?

The vehicles you use for your project must have signage that indicates they are for passenger services.

Note: Occasionally, vehicles purchased by local governments have the government logos on them with the phrase “For Official Use Only” underneath. That type of signage is not appropriate. It may mislead the public into thinking it is used for general governmental purposes, or the public agency is misusing the vehicle. If your vehicle(s) have that statement, you must remove it immediately.

Where Can I Go for Help?

The PT&CO has staff who can assist you in developing marketing materials. To receive assistance, contact the WSDOT staff member listed on page xi of this guide.

What are the Reporting Requirements?

All grantees are required to submit Quarterly and Annual Reports to WSDOT. WSDOT uses the reports to account to the State Legislature, the State Transportation Commission, the Federal Transit Administration, and the Washington State Secretary of Transportation. In addition, WSDOT staff use the reports to highlight your successes and identify areas where organizations may need technical assistance. The following information will help you complete your reports in an accurate, consistent, and timely manner. A computer disk containing electronic forms for reporting is included in the front pocket of this guidebook.

Who Must Complete the Quarterly and Annual Reports?

Quarterly progress reports must be submitted by all organizations receiving funds from the following capital and operating grant programs:

- FTA 5309 Capital
- FTA 5310 Capital
- FTA 5311 Capital and Operating
- FTA 5311(f) Capital and Operating
- Rural Mobility-Competitive
- Rural Mobility-Transit Formula
- Paratransit/Special Needs-Non-Profit
- Paratransit/Special Needs-Transit Formula
- Job Access and Reverse Commute (JARC)

What Information Must be Reported?

Below is an overview of the information required. Detailed instructions for completing the reports can be found in Appendix B of this guide.

- A Project Narrative needs to be included for each project identified in the Exhibit section of your grant agreement.
- Detail of Match for Operating Expenditures need to be submitted for projects with matching fund requirements.
- An Operating Expenditures by Service Type needs to be submitted for operating projects.
- A Statistical Summary by Service Type needs to be submitted summarizing the service provided under operating projects.
- A Capital Expenditures must be submitted for all capital projects.
- A DBE Report must be submitted by organizations awarded FTA funding (except passenger vehicle purchase projects). This report is due annually with the December 31 report.

Note: Organizations who intend to award contracts in the federal fiscal year exceeding \$250,000, excluding bus procurements, must also have a formal DBE Plan. See DBE requirements, in this chapter, for more information.

- An Annual Owned Rolling Stock Inventory Report is due once a year with the December 31 report.
- A Capital Agreement Compliance Certification must be submitted by any organization that has purchased capital equipment with state and/or federal grant funding. This certification must be submitted once a year with the December 31 reports throughout the useful life of the equipment.

When are the Reports Due?

Progress reports must be submitted four times each year for the periods ending March 30, June 30, September 30, and December 31. Reports are due within 45 days after the end of each three-month period.

Do I Submit Separate Reports for Each Grant Program or Project?

You need to prepare separate reports for each grant agreement, however not for each project within that agreement. Under the Consolidated Grant Program, you will have a separate report for operating and capital grant agreements. The multiple projects within those agreements can be combined on one single progress report. However, you are required to submit a narrative report for each project identified in your operating and capital grant agreements.

Where Do I Submit the Reports?

Submit your reports to the WSDOT staff member identified on page xi of this guide at:

Washington State Department of Transportation
Public Transportation and Commute Options Office
P.O. Box 47387
Olympia, WA 98504-7387

With the exception of your Public Transportation Management System (PTMS) Inventory, all reports may be submitted via e-mail.

What Happens if I Fail to Submit Required Reports?

If a report is not received at WSDOT by the due date, any invoices submitted by the grantee will be held without payment until an acceptable report is received.

Who Do I Call for Assistance Regarding the Required Reports?

Contact one of the WSDOT staff members listed on page xi of this guide. Examples and electronic copies are available upon request.

Site Visits

The WSDOT staff will conduct site visits with all organizations. These visits may last up to four hours depending on type of grant(s) and project(s) awarded to your organization.

What is the Purpose of Site Visits?

The purpose of the site visits is to:

- Provide organizations with an opportunity to consult with PT&CO staff.
- Provide technical assistance.
- Review financial records and processes.
- Review other project records.
- Review required written policies.

- Verify compliance with the regulations associated with the receipt of federal funds.
- Review preventative maintenance records and inspect vehicles, equipment, and facilities purchased with FTA funds.

How Often Do the Visits Occur?

The frequency of the site visits will vary depending on the type of project(s) your organization was awarded.

- **Capital Projects** – Minimum of one visit every two years for the entire term that WSDOT holds title to the vehicle or equipment.
- **Operating Projects** – Minimum of once during the course of the project.
- **Drug and Alcohol Program Reviews** – Minimum of once during the course of the project. This review applies only to organizations awarded FTA 5309, 5311, 5311(f), and JARC (3037) projects.

What Should You Expect During a Site Visit?

The WSDOT staff member(s) conducting the site visit will use a checklist to ensure that each contractor and grantee is treated equally and all of the requirements are reviewed. A copy of each checklist can be found in “Appendix D” of this guide.

Depending on the scope of the review, the site visit may take up to four hours. The review will start with an introductory session laying out the scope of the review. There will be general sessions covering many of the compliance areas and separate sessions for the financial review and the vehicle inspections. To the extent possible, the PT&CO staff members will attempt to summarize any findings at the end of the site visit. At the exit interview, there will be opportunity to discuss what corrective actions need to be accomplished and a realistic time frame for the corrective actions to be taken.

How Do I Prepare for a Site Visit?

To prepare for a site visit, it is recommended you review the checklists to see what questions will be asked and what items will be requested. A negative response on the checklist does not necessarily mean your agency is in non-compliance. The checklist is to ensure all areas are covered and to facilitate discussion. WSDOT will make every effort to give adequate advance notice of the visit. It is important the appropriate staff be available during the entire site visit. This typically includes:

- General Manager
- Finance Director (for operating reviews)
- Drug and Alcohol Program Manager (for drug and alcohol program reviews)
- Maintenance Director (for capital project visits)

In preparation, you should review the applicable checklist and be prepared to discuss all items on the checklist. The following are examples of documents that should be available when the PT&CO staff member(s) arrive.

- All Types of Projects:
 - Charter exception (if you provide charter service and receive FTA funding)
 - Code of Ethics (FTA projects only)
 - Sample job descriptions
 - ADA policy (if you have one)
 - Documentation of marketing efforts
 - Copies of any complaints filed against your agency
 - Purchasing policy
 - Bus schedules
 - Harassment policy
 - Schedule of federal funds (from your annual financial report)
- Operating Projects Only:
 - Accounting records
 - Cost allocation plan
 - Financial plan (if you have one)
 - In kind letter of approval
- Capital Projects Only:
 - Current inventory
 - Certificate of insurance or self insurance
 - Procurement files (See Appendix D for Procurement File Contents checklist)
 - Maintenance records of all vehicles purchased with state or federal funds
 - For vehicles purchased with FTA funding, you will also need to make these documents available:
 - Altoona bus testing report
 - Federal Motor Vehicle Safety Standard report or a sticker on the vehicle
 - Pre-Award and Post Delivery U.S. Buy America content report

Is There Follow-up to a Site Visit?

Following the site visit, a letter will be sent to your organization describing any deficiencies, areas of non-compliance and recommendations or requirements. Generally, the letter will summarize items discussed at the exit interview. However, it is possible new items may come up subsequent to the site visit. In such cases, the staff will make every effort to communicate those to you prior to sending the letter.

Your organization must resolve all deficiencies, areas of non-compliance, and requirements within the timeline specified in the letter. Consequences of non-compliance are outlined in your grant agreement.

The information in this chapter applies only to organizations awarded operating assistance grants. In addition to the requirements outlined in this chapter, if your organization was awarded FTA funds, you must comply with:

- The administrative requirements outlined in 49 CFR Part 18 or 49 CFR Part 19, whichever is applicable.
- The accounting requirements outlined in OMB Circulars A-87 or A-122, or 48 CFR Part 31, whichever is applicable.

Note: Though these regulations apply only to organization that receive federal funds, the Washington State Department of Transportation (WSDOT) strongly encourages all organizations to adopt the standards set forth in these CFRs and OMB circulars. Copies of those documents can be found in the reference manual that accompanies this guide. Neither FTA nor the Office of Management and Budget (OMB) have issued administrative requirements specific to projects awarded to private for profit organizations. However, per OMB guidance, private for profit entities will be held to the same standards as private non-profit organizations.

The most important items to remember while managing your operating project are:

- Put policies and procedures in place to ensure compliance with state and federal laws and regulations.
- Make sure your accounting and administrative procedures comply with the OMB circulars and FTA regulations.
- You are expected to carry out the project as you described it in your grant application.

What is an Operating Project?

An operating project is when WSDOT enters into an agreement with an organization to provide funds that support the provision of transportation services. Expenses for equipment are not eligible under an operating project.

Grantees are reimbursed for their actual expenses less revenue received from the project. Expenses may include both direct and indirect costs. Grantees must have an operating deficit to qualify for a reimbursement. Please refer to “What is the Operating Deficit?” for more information.

For the most part, the program eligibility and requirements described in this chapter apply to operating grants funded with state rural mobility and FTA 5311, 5311(f), and JARC funds.

What Services are Eligible?

Only services identified in your grant agreement or contract with WSDOT are eligible. This section provides you with the additional eligibility information for each type of grant funding covered in this guide.

Note: All services provided must be ADA accessible. For more information, see Disabled Persons' Employment, Public Accommodation, and the Americans with Disabilities Act (ADA) in Chapter 1.

What Services are Eligible for FTA 5311 Operating Projects?

To be eligible for FTA 5311 operating assistance, your services must be made available to the general public in rural areas. The type of service eligible includes:

- Fixed route with complementary paratransit service.
- Dial-a-ride service.
- Route deviated service.

If your organization provides transportation primarily to elderly and persons with disabilities, you need to develop and implement a policy for serving the general public. WSDOT will expect to see general public passengers listed on quarterly ridership reports. Projects serving only elderly persons and persons with disabilities are eligible only if:

- The projects will be undertaken in direct affiliation with general public transportation operations,
- The projects are under contract with a private or public transportation provider serving the general public, or
- The project is in a geographical area not served by general public transportation providers and the service is made available to the general public.

Note: As a condition of receiving funds, your organization must advertise the availability of services to the general public.

What Services are Eligible for FTA 5311(f) Operating Projects?

Projects under the FTA 5311(f) program must meet the federal definition of intercity bus service in order to be eligible. To be considered intercity bus service, the service must meet all of the following conditions:

- Connects two or more urban areas not in close proximity.
- Provides regularly scheduled fixed route service with limited stops.
- Has the capacity for transporting baggage carried by passengers.
- Makes meaningful connections to other intercity passenger services (if available).

Note: For the purpose of the 5311(f) Intercity Bus Program, “urban” is defined as an area that includes a municipality or other built-up place.

Definition of Meaningful Connections

In order to be considered a meaningful connection to other intercity providers, your schedules must be coordinated with the other service providers stopping at the intercity facility.

Feeder Service May be Eligible

Intercity bus feeder service is not required to have the same characteristics as standard intercity bus service. It may include demand response service that connects with an intercity provider. However, the service must be coordinated with the intercity provider(s) to ensure a meaningful connection is made. Funding from a feeder service project may not be used to supplement other demand response services provided by your organization.

WSDOT is currently conducting an updated Intercity Bus Study. Future program parameters may change based on the results of this study.

What Services are Eligible for JARC Operating Projects?***Program Description***

Job Access and Reverse Commute (JARC) grants are intended to provide new transit service to assist welfare recipients and other low-income individuals in getting to jobs, training, and child care. Service can be either urban, small urban, or rural.

Eligibility

Eligible activities for JARC grants include operating costs related to providing access to jobs. Also included are costs of promoting the use of transit by workers with nontraditional work schedules, promoting the use of transit vouchers, and promoting the use of employer-provided transportation including transit benefits.

What Services are Eligible for State Rural Mobility Operating Grants?

The Rural Mobility allocations are the most flexible funding source administered by the Public Transportation and Commute Options (PT&CO) Office. In all cases, service may include both special needs and general public rural transportation. Your project may be carried out using a variety of modes. However, there are some minor restrictions on the location of the services provided. The services you provide under a rural mobility grant will depend on which type of rural mobility grant your organization was awarded:

- **Rural Mobility Competitive** – The services must be provided to small cities (population less than 50,000) and rural communities.
- **Rural Mobility Transit Formula Program** – There are no restrictions to the type of passenger services provided with these funds.

What Services are Eligible for the State Paratransit/Special Needs Grants?

The services provided with either non-profit or transit formula grants through the Paratransit/Special Needs programs must be targeted to special needs populations, including persons with disabilities, youth, seniors, or persons with low income. Transit agencies must have a maintenance of effort for special needs transportation that is no less than the previous year's maintenance of effort.

What Expenses are Eligible?

For an expense to be eligible for grant funds, it must be directly related to your project. Examples of direct expenses include but are not limited to:

- Salaries and wages
- Fuel
- Maintenance
- Marketing

There are conditions on some types of expenses. The information below will assist you in determining whether or not certain types of expenses are eligible.

Personal Vehicle Mileage for Volunteers

Occasionally, organizations use volunteers to transport the general public and persons with special transportation needs. This is an eligible activity as long as all of the following conditions exist:

- A written policy must be in place regarding the use and reimbursement of volunteer drivers using their own vehicles.
- The policy must include transportation of general public passengers as well as persons with special transportation needs.
- Volunteers must be under a contract with your organization.
- Trips provided must not conflict with local taxi operations.
- Shared rides must be encouraged.
- Rides are approved and dispatched in advance of the trip.
- The mileage rate reimbursed to volunteers must not exceed the current federal mileage rate. Contact the WSDOT staff members listed on page xi of this guide to determine the applicable rate.

Many rural organizations rely heavily on the use of volunteers to provide their services. Managing a volunteer driver program can be a daunting task. However, in 2002, the Agency Council on Coordination (ACCT) published the “Volunteer Driver-A Guide to Best Practices.” The guide is designed to assist organizations in establishing and managing a volunteer driver program. It also outlines various requirements and provides information on best practices found throughout the United States. For a copy of that guide, contact one of the WSDOT staff members listed on page xi of this guide. You may also access the guide online at <http://www.wsdot.wa.gov/acct>

Travel Expenses

Some employee travel expenses are eligible. Use the following information to determine which expenses are eligible for reimbursement.

Note: The following information applies only to your employees. Travel expenses incurred by board members are not eligible unless otherwise authorized by WSDOT. If an employee was awarded a Rural Transit Assistance Program

(RTAP) scholarship to attend training, the local portion (if any) is not an eligible expense for an FTA funded project.

Are In-state Travel Expenses Eligible?

Travel expenses incurred by employees are eligible for reimbursement if the trip is directly related to your project. The rate your organization will be reimbursed is based on the current per diem and lodging rates for state employees. For rates specific to areas of Washington State, contact one of the WSDOT staff members listed on page xi of this guide.

What About Out of State Travel?

As a rule, out of state travel is not eligible for reimbursement. However, if an out of state trip is directly related to your project, the expenses for the trip may be eligible if you submit a written request to the WSDOT's PT&CO Office and receive approval prior to leaving. This request must describe the purpose of the trip and how it will benefit your project. A letter of approval or denial will be sent to your organization and should be kept on file.

Note: WSDOT reserves the right to deny the eligibility of the some or all of the related expenses for an out of state trip. For more travel information and per diem rates, see the website at <http://www.wsdot.wa.gov/biz/travel/>

Audit Expenses

Your organization is required to have an independent auditor or the State Auditor's Office perform an audit of your financial records and compliance with applicable local, state, and federal laws. The cost of the audit is grant eligible if all of the following conditions are met:

- A formula must be in place to distribute the cost of the audit across all the programs your organization is involved with.
- The audit is in compliance with OMB Circular A-133.
- The Audit must be conducted by an appropriate entity:
 - Governmental agencies – the State Auditor's Office
 - Private non-profit or for-profit organizations – a certified public accountant selected through a competitive bidding process within three years of the beginning of the audit
- The principles for determining costs must comply with:
 - Governmental agencies – OMB Circular A-87
 - Private non-profit organizations – OMB Circular A-122
 - Private for-profit organizations must comply with 48 CFR Part 31 and OMB Circular A-122

Note: You must submit a copy of the audit report to WSDOT, for each year covered by your grant agreement. For more information on the audit requirements, see Chapter 1, Guidelines for All Projects.

Administrative Expenses

Administrative costs include items such as salaries and benefits, supplies, travel, marketing, and depreciation (see below). These costs are eligible only if they are allocated between programs and modes of transportation based on a documented cost allocation plan consistently applied to all programs. Some funding sources may require WSDOT approval of the cost allocation plan.

Employee Leave

The expense of an employee's leave is grant eligible. However, there are conditions on the eligibility depending on how your organization accounts for leave.

- If your organization charges the leave to the grant as it is earned, your organization must:
 - have a "buy out" policy on the leave. (In this case, the employee must be able to receive cash payment should they leave your organization while they still have leave on the books); and
 - establish a cash reserve where you deposit funds to cover the leave earned by employees.
- If your organization charges employee leave to your project as the leave is taken, you may not charge more leave to the project than what the employee would earn during the period covered by grant funding.
- If your organization includes leave in your cost allocation plan distributed between all programs.

Depreciation

This section provides guidance on determining the eligibility of depreciation on capital assets.

What is Depreciation?

For the purposes of grant projects, depreciation is defined as the annualized, straight-line reduction in the purchase cost of capital assets. Capital assets are any tangible items for which you:

- Maintain physical inventory records,
- Identified as having a useful life expectancy of more than one year, and
- Purchase for a unit price of at least \$500.

The reduction of an asset's value is accomplished by a schedule that reduces the value of an asset at a rate based on the expected useful life of the asset. Depreciation is an eligible expense against your operating grant only if:

- The applicable revenue received for the depreciation expense is placed into a capital reserve account, and
- The equipment was originally purchased with non-federal funds (FTA projects only).

Reserve Accounts

All agencies are encouraged to establish and maintain reserve accounts.

How to Establish a Reserve Account

Your governing board must approve a resolution to establish, fund, and determine parameters of reserve account use. Reserve account restrictions and covenants that determine how funds are allocated and used are identified in the agency's financial plan. Balances in these restricted accounts are identified in the cash flow statement and not included as "available" cash.

Funding a reserve account is not an eligible expense under your federal grant agreement. You may not use grant funds provided by WSDOT for contributions to a reserve account.

Organizations may use profits gained from other funding sources as long as the funding agency agrees. Any amount above the cost to provide the services associated with the matching source may be a candidate for establishing a reserve account so long as your agency has satisfied the matching ratio for your project. However, you need to review the terms and conditions imposed by the funding source you intend to use. If your contract with that agency does not permit a profit or was made based on a line item budget that did not include a reserve account, you cannot use any of the revenues to fund the account.

Capital Reserve Accounts

Any revenue placed in the capital reserve account must be for the acquisition of capital equipment to be used in your passenger transportation services.

Note: While the expense of a capital reserve account is not grant eligible, you may charge a **vehicle use fee** to the grant project. In calculating this fee, you may include only the vehicles owned in full by your organization (vehicles purchased with grant funds cannot be included). The rate should be based on the time operated in passenger service and/or miles driven in passenger service applicable to your project. Revenues from this fee must be applied to a capital reserve account and retained for passenger transportation purposes.

Self-Insurance Reserve Accounts

A self-insurance reserve account may be established to provide self-insurance for liability, collision, on-the-job injury, or other agency provided coverage. In the case of agencies who have purchased commercial or pool coverage, you may also use this reserve account to cover uninsured losses such as the cost of your deductible.

Operating or Working Capital Reserve Accounts

Operating reserve accounts and working capital accounts are generally established to fund extraordinary, unanticipated operating situations. As with all reserve accounts, funding and uses are determined by board resolution.

Local Matching Funds

Matching funds represent your organization's share of the project costs. The total federal, state, and local share of your grant can be found on front page of your contract/agreement with WSDOT. However, each project may have a different matching requirement.

What are the Match Requirements?

The matching requirement for each project varies depending upon the level of matching funds, if any, that you identified in your grant application. If your agreement has only one project, the specific local match for your project is identified on the first page of your contract/agreement with WSDOT. In the case of multiple projects, refer to the Scope of Project in your Agreement with WSDOT for the local matching ratio for each project. General information about matching funds is discussed below.

What Funds are Eligible to be Used as Match?

Your organization's portion of the net expenses (gross expense minus fares, donations, and ineligible expenses) may be obtained from a variety of sources. Eligible matching funds may include the following:

- Local tax revenues such as sales tax receipts.
- Funds from other public agencies.
- Private donations (except passenger donations).
- Advertising revenue.
- Foundation grants.
- State funds received from agencies other than WSDOT (unless you are notified otherwise).
- In-kind services (see Project Records for more information).
- Revenue from other grants awarded to your organization.
- Other federal funds for up to 50 percent of your match (FTA funded projects only).
- Other funds from your organization not related to the passenger services provided under your project (i.e., freight, etc.).
- Surplus or retained earnings from other activities of your organization.

Note: The local share/match for FTA funded projects must not be derived from USDOT funds. Federal funds that were passed through a State Social Service Agency, such as Medicaid, are not considered to be federal for the purposes of this program.

What Should I Know About In-kind?

If you were awarded FTA funding for your project, in-kind contributions directly related to your project may be used as match. The value of in-kind services must be formally documented, supported, and represent a cost which would otherwise be eligible under the grant. WSDOT must approve in-kind match prior to use. Guidance on valuing in-kind services is located at http://www.independentsector.org/programs/research/volunteer_time.html

Can I Sell Advertising Space?

The FTA encourages organizations to find additional resources to supplement their projects. One way of accomplishing this is to sell advertising space on your passenger service vehicles. The advertising revenues may be used as match for your project.

What Guidelines Must I Follow?

If your organization decides to sell advertising space on your vehicles, you must have policies in place indicating the types of advertisements acceptable to post. Some basic guidelines are:

- Advertisements that may be offensive or controversial should be avoided, including, but not limited to:
 - alcoholic beverages,
 - tobacco products, and
 - political issues.
- Political campaign posters may only be posted if equal opportunity is given to all candidates or positions.

Note: It is illegal to use public funds for political purposes. Items such as personal political posters or posters indicating your organization's position on political issues must not be posted.

Purchasing Regulations

All organizations awarded FTA funds must develop formal purchasing policies. However, WSDOT encourages organizations awarded state funds to develop purchasing policies as a best practice. The specific federal requirements are identified in OMB Circulars A-87 and A-122, or 48 CFR Part 31 (whichever is applicable). In addition, organizations awarded FTA funds must comply with the "Common Rule," 49 CFR Part 18 (state and local government), or 49 CFR Part 19 (non-profit organizations). The following provides basic information to assist you in developing purchasing policies and procedures that comply with federal requirements.

Note: In addition to the basic requirements described in this section, purchasing procedures for organizations that were awarded FTA funds, must be in compliance with FTA Circular 4220 1.E Third Party Contracting Guidelines. A copy of this circular can be found in the reference manual that accompanies this guide.

What Purchasing Procedures are Required?

Your organization is required to maintain written purchasing procedures. These procedures at a minimum should consist of the following:

- Delegation of purchasing authority (dollar threshold for purchases related to employee positions). The following is an example of purchasing delegation, your policies may differ:
 - Purchase of vehicle supplies such as gasoline may be made by drivers.
 - Purchases of items costing less than \$50 may be made by specified employees.
 - Purchase of items or services costing between \$50 and \$400 may be made if approved in advance by the chief administrative officer or director.
 - Purchases of items or services costing between \$400 and \$1,500 may be made if quotes are obtained by telephone, in advance, and approved by the administrative officer or director.
 - Purchases of items or services costing more than \$1,500 may be made if a formal bidding procedure is followed, and subject to approval by the chief administrative officer or director.
- A review of proposed purchases to avoid unnecessary or duplicated purchases.
- Consideration of consolidating or breaking out procurements to obtain a more economical price.
- A written code of conduct for employees in the award or administration of contracts (to avoid possible or perceived conflict of interest).
- Goals or good faith efforts to purchase from Disadvantaged Business Enterprises (FTA projects only). See DBE Requirements in Chapter 1 for more information.

Project Records

Your organization is expected to keep records on your project in order to adequately document project activities and costs. In addition, if your organization receives FTA funding, your financial records must comply with OMB Circular A-87 (government agencies) or A-122 (non-profit and for profit organizations), whichever is applicable. WSDOT uses the OMB circulars as a standard when assessing whether or not a state funded organization has adequately documented project costs.

What Does “Comply With the OMB Circulars” Mean?

In order to comply with the OMB circulars, your organization is required to keep a separate set of accounts, or a section within your accounting system clearly identifying project costs and associated revenues. In addition, your accounting records must include:

- Vouchers or purchase orders prepared for all payments made to vendors. These vouchers must identify:
 - What was purchased.
 - Who the purchase was made from.
 - The programs charged for the expenditures.
- Time sheets kept for each employee charging to the project. The time sheets must include the hours spent working on the project.
- If your matching funds include in-kind contributions, you must retain documentation which identifies:
 - WSDOT approval of in-kind use.
 - How you determined the value of the goods or services.
 - Who the individuals and/or organizations were that provided the goods or services.
 - What goods or services were provided by those individuals or organizations.

Note: Documentation describing the method for establishing the value of in-kind contributions must be approved by WSDOT prior to contract execution. In addition, the value of the in-kind goods/services must be included as an expense for your project as well as a matching source.

What Other Types of Records Should I Keep?

Your organization will also be required to keep other information regarding your project(s) that includes:

- Ridership information.
- Marketing materials.
- Schedules.
- DBE purchasing efforts.
- Any other information helpful in showing the success of your project.
- Other records identified elsewhere in this guide.

How to Invoice WSDOT for Your Operating Projects

To receive payment for expenditures incurred under your agreement, a Reimbursement Request form must be completed, signed by your financial manager or authorized representative, and submitted to WSDOT's PT&CO Office. Although, it is preferred that Reimbursement Requests are submitted quarterly, you may submit your request monthly. All required quarterly Progress Reports must be submitted along with your Reimbursement Request prior to payment. See Appendix A for the Reimbursement Request forms and detailed instructions for completing the forms.

What is an Operating Deficit?

In order to qualify for competitive operating grant funding, you must have an operating deficit equal to the subsidy being requested. To determine if your organization has an operating deficit, use the following formula:

- Determine Your Net Operating Expenses – Gross expense less farebox collections and ineligible expenses.
- Add together all of the operating revenue you use for your project to determine your total revenue. Do not include as revenues the funds from your grant award or local funds that are deposited in a reserve account. Typical revenues include:
 - Local tax revenue
 - State and local subsidies
 - Interest income
 - Advertising revenue
 - Freight revenue
 - Net income from contract service
 - Other operating subsidies such as Medicaid or Title III
 - Miscellaneous revenues
 - Unreserved retained
- Operating Deficit – Subtract your total operating revenues from your net operating expenses.

In all cases, operating deficits must be calculated based on actual operating income received and/or earned versus actual expenses paid and/or incurred.

What if My Organization Doesn't Have an Operating Deficit?

If your organization has a net profit for the operations of your services, you are not eligible to receive operating assistance. However, payments are calculated on a project to date expenses versus match. It is not uncommon for your organization to have net profits during one quarter and net losses during another quarter. Reimbursement Request forms must be completed and submitted at least on a quarterly basis throughout the entire contract period, even if the billing amount is zero.

This chapter contains basic information associated with capital purchases and guidelines for managing vehicles or equipment after it is received. The information in this chapter applies to all grants for the purchase of equipment for passenger transportation services.

Only the equipment specified in the grant agreement will be eligible for reimbursement.

Note: Your organization must also follow the guidelines found in Chapter 1, Guidelines for All Projects.

About Purchasing Vehicles

There are numerous requirements and detailed processes that you must follow when purchasing vehicles with grant funds, particularly when using FTA funding. This chapter provides the specific information about the processes and requirements associated with purchasing vehicles. For additional information, see FTA Circular 4220.1E and Circular 5010.IC.

What is WSDOT'S Role in Vehicle Procurement?

The Washington State Department of Transportation (WSDOT) is responsible for ensuring your organization follows the FTA and state requirements associated with the receipt of grant funds for vehicle procurement. WSDOT takes an active role in the vehicle procurement process. During the course of the project, WSDOT will monitor your vehicle procurement process to ensure that:

- The vehicles are purchased through a competitive process.
- All purchases follow the proper regulations and procedures.
- The Invitation for Bids (IFB) includes all the instructions, terms, conditions, and vehicle specifications.
- The vehicle purchased is consistent with your grant agreement.
- The administration of the contract is consistent with the terms and conditions set forth in the IFB.
- The vehicle meets the required safety standards.
- A properly submitted invoice is received for reimbursement.

What is Your Organization's Role in Purchasing Vehicles?

Your organization is responsible for carrying out the project described in your grant agreement. In addition, you will have a lead role in the procurement process. If you elect to participate in the State Consolidated Vehicle Procurement, your role includes, but is not limited to:

- Participating in pre-bid meeting(s).
- Working with WSDOT to develop the specifications for the vehicle.

- Following state and federal procurement regulations and procedures.
- Participating in the review of Request for Clarification, Interpretations, and Proposed Substitutions.
- Participating in the Approval of Equals process.
- Participating in the Bids Analysis process.
- Participating in the Pre-Award Audit process.
- Awarding, executing, and administering your contract with the vendor for the purchase of your vehicle.
- Inspecting the vehicle to ensure:
 - The vehicle delivered meets with your specifications.
 - The vehicle is in good working order with no apparent cosmetic or mechanical defects.
- Issuing vehicle acceptance or rejection to contractor in a timely manner.
- Paying the contractor in a timely manner.
- Maintaining all required records of the procurement process in your organization's file.

What are the Basic Requirements?

All vehicles and equipment purchased with FTA grant funds must:

- Be purchased through a competitive process unless a sole source is justified and approved by WSDOT.
- Contain all required FTA Clauses.
- Comply with the FTA bus testing regulations (Altoona Test).

All vehicles purchased with FTA or State grant funds must also:

- Comply with the Federal Motor Vehicle Safety Standards (FMVSS).
- Meet Americans with Disabilities Act (ADA) accessibility requirements unless otherwise approved by WSDOT.
- Comply with the Buy America Act if the total procurement is equal to or exceeds \$100,000.

You must submit your contract, vehicle's specification, and all required certifications to WSDOT for review and approval prior to the execution of your contract.

Note: Required federal contract clauses can be found in the FTA's Best Practices Procurement Manual, Appendix A-Governing Documents.

The website is <http://www.fta.dot.gov/library/admin/BPMM/appA1.html>

What are the First Steps?

As soon as WSDOT notifies your organization of a grant award, you may start preparing the vehicle specifications. WSDOT will assist you in determining what method of procurement is best and/or required for the type of vehicle being purchased. There are several procurement methods available:

- Invitation for Bids (IFB) – Depending on the experience of your organization’s staff, you may carry out the procurement process directly.
- Request for Proposal (RFP).
- Participate in WSDOT’s consolidated procurement.
- Participate in a transit agency’s consolidated bid.
- Piggyback with contracts initiated by other organizations, such as:
 - A transit agency
 - State of Washington
 - State of Oregon
 - A non-profit organization

Note: Regardless of your chosen method of procurement, if your organization was awarded FTA grant funds to purchase vehicle(s), the original procurement must meet FTA standards. It is your responsibility to verify adherence to FTA standards if you choose to piggyback.

If you intend to piggyback with a contract awarded by another organization with available option vehicles, you must obtain a written approval for piggybacking from both the organization who initiated the contract and WSDOT. After obtaining written approval for piggybacking, you must obtain a complete copy of all procurement documents from the organization as if you had conducted the bid process yourself. Please see the Procurement File Contents Checklist in Appendix D for specific information. These records must be maintained throughout the useful life of the vehicle(s).

How Will WSDOT Determine the Type of Procurement Method?

At the beginning of each grant cycle, WSDOT will send out a letter summarizing the vehicles to be purchased by all grantees. At that time, WSDOT will ask each grantee to identify which procurement method they intend to pursue. All grantees who participate in WSDOT’s consolidated bid process will be asked to assist in the development of the vehicle specifications.

What Should I Know About Conducting the Procurement Directly?

The scope of the requirements differ depending on the type of funding you were awarded.

What Requirements are There for State Funded Procurements?

WSDOT does not prescribe a specific procurement process when using state funds. However, your organization must use a competitive process. The process you use must be in accordance with your own purchasing procedures and follow all applicable state laws. Prior to advertising your bid, you are required to submit a copy of your purchasing policy and procedures as well as your vehicle specifications to WSDOT for approval.

What Requirements are There for FTA Funded Procurements?

If your organization was awarded FTA grant funds for vehicle(s), your procurement policies and process must be in compliance with the FTA Third Party Contracting Requirements identified in FTA Circular 4220.1E, and all applicable state laws. The specific FTA's requirements are discussed below.

Is a Formal Bid Process Required?

If you use FTA grant funds, your vehicle procurement must be publicly solicited and the vehicle specifications should not restrict competition. You may begin developing your bid documents once you receive notice of your grant award. Your bid documents must be approved by WSDOT prior to solicitation.

What Must the Bid Documents Include?

The bid documents must include the following information:

- The method you use to conduct your vehicle procurement.
- Bid information, instructions and timeline for communication, bid submittal, bid opening, and award.
- A maximum and minimum number of vehicles to be purchased.
- The term (length) of the contract to be awarded.
- All applicable FTA terms and conditions.
- General and technical specifications of the vehicle(s).
- Protests and appeals procedures.
- The basis upon which you will award bids.

Note: WSDOT staff will assist you in the development of bid procedures and vehicle specifications. A sample bid packet and sample specifications may also be obtained from WSDOT upon request.

What Does the Bid Process Include?

Once you receive written approval of your bid documents, you may proceed with your bid process. This includes the following steps:

- Advertise your IFB solicitation consistent with your organization's purchasing policy and mail the solicitation to interested vendors using the Vendors List provided by WSDOT. The IFB solicitation must be issued with information about the scope of the procurement, contact information, and the timeline for bid submittal.

- **Conduct the Approval of Equals Process** – Vendors may request you to accept changes or substitutions to your specifications. All requests of this nature must be approved by WSDOT prior to acceptance or denial of the request for approval of equals. All other bidders must be provided a copy of requests for approval of equals submitted to your organization and your responses to all requests.
- **Conduct the Bid Opening** – Bids must be publicly opened and conducted at the time and place prescribed in the bid document.
- **Conduct the Pre-Award Review of Your Lowest Priced, Most Responsive and Responsible Bidder** – This may include a visit to the factory where the vehicle is assembled. See “What is the Pre-Award Factory Visit?” for more details.
- **Award the Bid** – The bid must be awarded to the lowest, most responsive and responsible bidder, who meets all requirements and submits all required certifications regarding the performance of the bid document. The bid award must be in writing and sent to all bidders who responded to the solicitation.

Note: It is important to remember that any costs incurred prior to the beginning date of the grant agreement will not be eligible for reimbursement.

What is the Pre-Award Review?

Before you award any bid for vehicles, you must conduct a pre-award review of your lowest priced, most responsive and responsible bidder. The purpose of conducting the review is to verify the manufacturer is able to construct the vehicle according to your specifications and to ensure the manufacturer is able to comply with:

- Altoona Bus Testing
- Buy America Requirements
- Federal Motor Vehicle Safety Standards (FMVSS)

Note: The dealer may not substitute for the manufacturer. Record when and how you met the review requirements, as well as the data received from the manufacturer. See the Pre-Award Audit Checklist in Appendix C for details of certification requirements.

Bus Testing

The manufacturer must certify to your organization that the vehicle bid complies with FTA bus testing regulations by submitting an Altoona testing report for each vehicle model bid as part of the bid submittal. The Altoona testing report must be kept in your procurement file. It is recommended that you require two copies of the Altoona Test Results be submitted with the bid.

Note: Passenger vans and minivans are not subject to bus testing. For the purposes of the FTA program, a modified van, commonly referred to as a “cutaway,” is considered to be a minibus, not a van and is therefore subject to Altoona testing.

Buy America

Under the “Buy America” federal requirement, at least 60 percent of the vehicle’s costs must be from American made products and its final assembly must take place in the United States. Prior to award, the manufacturer must certify their ability to comply with this requirement. The supporting documentation you receive from the manufacturer must detail by component how the 60 percent “Buy America” requirement will be met and detail what final assembly entails. You must verify the manufacturer’s documentation to support their certification. Upon delivery, you must obtain the Post-Delivery “Buy America” certification described below.

FMVSS

To verify compliance with Federal Motor Vehicle Safety Standards (FMVSS), you will need to review the manufacturer’s documentation that the bid vehicle has passed all of the tests required by the National Highway Transportation Safety Administration under 49 CFR 663. The tests may also include other FMVSS tests required by your vehicle specifications. You must obtain a copy of the testing report for each vehicle and keep it in the procurement file.

Note: Upon request, WSDOT may perform the **pre-award** “Buy America” and FMVSS reviews for you. However, you need to notify the manufacturer that you have authorized WSDOT to perform the review on your behalf.

What is the Pre-Award Factory Visit?

For purchases of ten or less vehicles, a visit to the successful bidder’s vehicle manufacturing factory prior to contract award as part of the pre-award review is optional. Pre-award factory visit expenses are not eligible for grant reimbursement unless you purchase more than ten vehicles.

Note: If you choose to conduct the pre-award factory visit, we suggest you use the Pre-Award Factory Visit Checklist in Appendix C and your own vehicle specifications while conducting your factory visit.

Compliance With the Specifications

The final element in the Pre-Award Review is verification that:

- The bid was made by the lowest priced, responsive and responsible manufacturer.
- The manufacturer has the capability to produce a vehicle that meets your vehicle specifications.
- Ensure the continuity of the manufacturer’s warranties.

This may include a trip to the factory, where the vehicle will be assembled, to meet with the manufacturer. To determine whether or not a trip is warranted or allowed, contact the WSDOT staff member listed on page xi of this guide.

What are the Requirements for More Than Ten Vehicles?

If you are purchasing more than ten vehicles from a single bid, resident inspections are required. The resident inspection differs from the pre-award factory visit in that the purpose of the required resident inspections is for you or your authorized representative to inspect your vehicles at different stages of production to ensure that the vehicles are being built in compliance with all requirements and specifications. These inspections will include up to four trips to the factory during the various construction stages of your vehicles. Contact the WSDOT staff member responsible for vehicle procurements listed on page xi of this guide for more information regarding this requirement.

To assist you in completing your manufacturing report, use the Pre-Award Factory Visit Checklist, Mid Construction Factory Visit Inspection Checklist, and your vehicle specifications during your resident inspections.

Note: You must submit a written travel request to WSDOT for review and approval prior to taking the trips. WSDOT will not reimburse your trip expenses without prior WSDOT written approval.

What is the Post-Delivery Inspection?

After you receive your vehicle(s), you need to conduct post-delivery inspections and complete the corresponding three forms for submittal with your reimbursement requests.

- First, a visual inspection form to ensure there are no apparent defects, the vehicle(s) met your specifications, and the manufacturer has complied with:
 - **Post-Delivery Buy America Certification** – You have received an “American Content” report upon the delivery of your vehicle. The report must be dated prior to your invoice date.
 - **FMVSS Report** – You have received the FMVSS report (for each vehicle delivered) and the manufacturer has affixed the metal placard in the door jam of each vehicle.
- Second, a road test form to ensure the vehicle(s) is in good working order and has no mechanical defects.
- Third, sign the Post-Delivery Purchaser’s Requirements Certification stating the vehicle(s) meets the contract specifications.

Note: “Appendix C” contains forms that must be used for the inspections and certification. The inspection forms and certification are required attachments to your request for reimbursement. Payment will not be issued until they are received by WSDOT.

How Long Do I have to Accept the Delivered Vehicle(s)?

Once the vehicle(s) is/are delivered, you have 15 calendar days to complete inspections and either accept or reject the delivered vehicle(s). If your vehicle is acceptable, you need to issue an acceptance letter to the contractor. If the vehicle was not constructed to your specifications or you find defective parts and/or deficiencies, you must issue a non-acceptance letter to the contractor within the 15 calendar-day period. The non-acceptance letter should include detailed information about the defective part(s) and/or deficiencies and a request that the contractor take appropriate actions to correct the problem(s). A vehicle cannot be placed in service until it is fully accepted. A copy of this letter must also be sent to the WSDOT staff member identified on page xi of this guide.

Note: Failure to notify the contractor within the 15-day period constitutes acceptance of the vehicle as delivered.

How Long Must the Procurement Records be Maintained?

When you use federal or state grant funds for vehicle procurement, you must maintain all pertinent procurement records in your procurement file. Regardless of the process used to purchase the vehicle(s), the complete procurement file must be maintained throughout the useful life of the vehicle(s) as shown in Appendix E. See the Procurement File Checklist in Appendix D for details on what documents must be retained.

How Do I Title Our Vehicle(s)?

When obtaining the title for vehicles, **you must show WSDOT as the legal owner** and your organization as the registered owner. The following information should appear on the title:

Washington State Department of Transportation
Public Transportation and Commute Options Office
PO Box 47387
Olympia, WA 98504-7387

Note: All applicable licensing and title fees are the responsibility of your organization. Those costs are not eligible for reimbursement against your capital grant.

How Long Will WSDOT Retain Title?

The length of time WSDOT retains title to vehicles purchased under your project will depend on the size and type of vehicle purchased. Appendix E, “Vehicle Disposition Schedule,” is a chart identifying the retention schedule for vehicles, also known as the useful life of the vehicle.

Note: After WSDOT releases the title to your organization, you must complete the transfer of legal ownership with the Department of Licensing (DOL) within 15 calendar days of WSDOT’s signature. Failure to do so may result in penalties imposed by DOL.

What Should I Know About Vehicles Purchased for Replacement?

If you were awarded a grant to replace a vehicle, you will be expected to retire from regular service the vehicle identified as being replaced in your grant application. This must occur within three months of accepting the new one.

Retiring a vehicle means it is sold, placed in backup reserve, placed in part-time service (no longer available for service exceeding 30 percent of prior use), or otherwise disposed of. Assigning the vehicle to another service area or a contractor, or leasing the vehicle is not acceptable.

Note: Failure to retire the replaced vehicle in a timely manner is considered a breach of the grant agreement and may result in disqualification for future grants or repossession of the new vehicle(s).

Other Equipment Purchases

This section describes the steps you need to take and the requirements associated with purchasing equipment other than vehicles. All equipment purchased with grant funds from WSDOT must be used to support the passenger transportation services described in your grant agreement.

What Purchasing Procedures Should be Followed?

WSDOT does not prescribe specific procedures for the purchase of other equipment. However, your organization is required to have written procedures describing what steps are to be taken when purchasing equipment. These steps must include:

- Dollar threshold for phone quotes versus bids,
- Which officials have signature authority for various types of purchases,
- At what point board approval is required, and
- Policies for purchasing from DBE vendors if FTA funds are utilized (for more information see DBE Requirements in Chapter 1).

If you were awarded FTA grant funds for the equipment, your procedures must comply with FTA Circular 4220.1E. A copy of that circular can be found in the reference manual that accompanies this guide.

Note: For more detailed guidance on developing purchasing procedures for your agency, see Purchasing Procedures in Chapter 2.

How to Invoice WSDOT for Your Capital Grant

WSDOT will reimburse your organization for the state and/or federal percentage shares identified in the Scope of Work of your agreement or the total funds awarded for the purchase, whichever is less. The remaining portion of the cost must be paid with local funds. The local share must be in cash and not derived from any sources that would place restrictions on the use of the equipment or place a lien on the equipment. Eligible expenses include, but are not limited to:

- Pre-Award Factory Visit (if required and pre-approved by WSDOT) – These expenses must fall within state per diem rates. You must submit a written request for Pre-Award Factory Visit to WSDOT for review and approval prior to taking the trip. WSDOT will not reimburse your trip expenses without WSDOT written approval. Contact the WSDOT staff listed on page xi of this guide for detailed information and requirements of the Pre-Award Factory Visit and the most current per diem rate prior to taking the trip.
- Cost of equipment identified in your grant agreement.
- Purchase and installation of other vehicle equipment identified in your grant agreement or otherwise approved by WSDOT (i.e., signage, bike racks, radios).
- Purchase and installation of striping and/or logos on the exterior of any vehicles purchased under the grant agreement.
- Purchase and installation of non-vehicle equipment specifically identified in your grant agreement.

Note: Administrative expenses related to a capital purchase, title and licensing fees are not eligible expenses under Capital grants. These expenses may be eligible for reimbursement through an Operating Grant.

To receive reimbursement, you need to submit a completed invoice form, signed by your financial manager or another authorized representative, to WSDOT's Public Transportation and Commute Options Office along with copies of the vendor invoices and all other required attachments. See Appendix A of this guide for invoice forms and detailed instructions. A completed invoice must have the following information or attachments:

- Invoices from vendors supplying vehicle or related equipment and services.
- Completed Visual Inspection and Road Test forms.
- Completed Post-Delivery Purchaser's Requirements Certification form.
- Copy of the e-mail or letter from WSDOT approving award of contract.
- Copy of the report from the visit to manufacturer's site to verify the vehicle was constructed according to bid specifications; if visit was required.
- Copy of the Vehicle Registration Certificate, issued by DOL, showing WSDOT as the legal owner.
- Copy of your vehicle acceptance letter to the vendor.

How Must the Vehicles and Equipment be Managed?

Once the equipment and/or vehicles are purchased, your organization is expected to ensure it is properly maintained and used for the services described in your grant agreement. The information below provides guidance on properly managing your grant funded equipment and vehicles.

How May the Equipment and/or Vehicles be Used?

All vehicles and equipment purchased with grant funds must be used to support the passenger transportation services described in your grant agreement. This includes but is not limited to:

- Service area.
- Population to be served (i.e., general public, special needs, etc).
- Type of service.

What are the Minimum Service Thresholds for Vehicles?

All grant-funded vehicles must provide a minimum of 100 passenger trips or 100 service miles per week. Failure to meet minimum service thresholds may result in WSDOT removing the vehicle(s) from your agency.

May Vehicles be Used to Provide Additional Services?

Your organization may use the vehicles for other passenger transportation services as long as the use is incidental and does not diminish the services identified in the grant agreement. However, if the vehicles were purchased with Federal Transit Administration funds, they may not be used to provide charter service or school bus transportation.

What if the Vehicles are No Longer Needed for the Original Services?

If the vehicle(s) is no longer needed for the services described in your grant agreement, you must notify WSDOT immediately in writing. Below is an overview of the options available to your organization.

1. If your organization provides other passenger transportation services in the same service area, you may request to use the vehicles for those services.
2. If your organization is a Medicaid broker, you may request to assign the vehicle(s) to another eligible service provider. Under this option, you must:
 - Submit the proposed agreement to WSDOT for approval.
 - Execute the approved agreement with the service provider.
 - Send a signed copy of the agreement to WSDOT.

Note: Transfer of registered ownership under this option does not release your organization from its responsibilities under the grant agreement. Your organization will be responsible for ensuring the assignee complies with the terms and conditions associated with the grant.

3. If your organization does not provide any other passenger transportation services, or you are reducing the scope of your service, you may return the vehicle(s) to WSDOT. Upon written notification from your organization, WSDOT will:
 - Initiate a fair market valuation by an independent appraiser.

- Identify other service providers who are willing and able to accept the vehicle. If possible, WSDOT will transfer the vehicle to a provider within the same service area.
- Once another service provider is identified and the fair market valuation is completed, WSDOT will initiate the transfer. If local funds contributed to the purchase of the vehicle, your organization may be reimbursed for the proportionate local share as long as you are in compliance with the grant agreement. Once the transfer is complete, your organization will be released from the terms and conditions of the grant agreement.

May Vehicles be Transferred to a Different Service Area?

The process for securing grant funds is very competitive. A major component in selecting projects to be funded is the need for the service in the community or communities to be served. For that reason, WSDOT strives to keep grant funded vehicles in the original service areas described in the grant agreement.

Vehicles may only be transferred to other service areas if there are no eligible service providers in the area that are willing and able to accept the vehicle(s). If there are any such providers, WSDOT will initiate a fair market valuation and begin the process of transferring the vehicle(s). Your organization will be reimbursed for the proportionate local share of the value by the receiving agency.

If there are no other willing and able service providers in the area, you may submit a written request to WSDOT describing your desire to move the vehicle(s) and your efforts to identify other willing and able service providers. WSDOT will authorize the transfer in writing if it finds appropriate measures were taken to identify other eligible service providers.

Note: The vehicle(s) may not be transferred to a service area that is not identified in the grant agreement unless WSDOT authorizes the transfer in advance and in writing.

May Our Organization Buy Out the Grant Share of a Vehicle?

Your organization may purchase the state and/or federal share of grant funded vehicles at any point during the grant agreement. If a grant recipient selects to buy out the interest in the vehicle(s) less than 12 months from the time of the receipt of grant funds, the amount to be returned to the state will be 100 percent of the grant. If your written request to buy out the vehicle is greater than 12 months, WSDOT will initiate a fair market valuation to establish current value of the vehicle(s). Your organization will be required to pay the proportionate grant share of the current market value to WSDOT. After payment is received, WSDOT will send the original certificates of title for the vehicle(s) to your organization and you will be released from your responsibilities under the grant agreement.

What Should I Know About Maintaining Vehicles and Equipment?

Your organization is required to maintain the vehicles and equipment, purchased with grant funds, based on the manufacturer's recommendations. This typically consists of a graduated preventative maintenance program. In establishing the preventative maintenance (PM) program, refer to the owner's manuals you received from the manufacturer of the vehicle and any installed components (such as wheelchair lift, bicycle rack, air conditioning unit, etc). Sample maintenance plans and PM inspection forms are available upon request from WSDOT.

Transit Systems Must Have an Asset Management Plan

This section applies to transit agencies only. However, WSDOT considers the preventative maintenance practices described in the Transit Asset Management Plan requirements to be best practices for all grant recipients.

As a condition of receiving state funds, public transit agencies must have an Asset Management Plan (AMP) certified by the Transportation Commission. Further guidance on the Transit AMP has been published in a separate document. Please contact the WSDOT staff member identified on page xi of this guide for more information.

How Must Vehicles be Insured?

Vehicles purchased with state or federal grant funds must be insured in compliance with state law. In addition, your organization must maintain comprehensive and collision insurance. WSDOT must be listed as the loss payee in the event of a total loss. If your organization self-insures, you must provide WSDOT with a declaration of self-insurance which includes a description of how your organization funds your self-insurance pool. Please refer to the "Loss or Damage of Project Equipment" section of your grant agreement for insurance requirements.

What if a Vehicle is Involved in an Accident?

Your organization is responsible for repairing any damage to grant funded vehicles. All damage should be repaired as quickly as possible. If the damage does not require removal from service, you do not need to notify WSDOT. However, if the vehicle sustains disabling damage, you must notify WSDOT immediately in writing. The notice must include:

- The nature of the incident.
- Level of damage to the vehicle.
- If the damage resulted in a total loss of the vehicle, your organization's intentions regarding replacement of the vehicle.
- A copy of the accident report on file with local law officials.
- A copy of the investigation conducted by your organization.
- If FTA 5309, 5311, or JARC funds were used for the purchase, were post accident drug and alcohol tests conducted? If not, why?

If the damage resulted in a total loss, the insurance proceeds will go directly to WSDOT. If your organization does not intend to replace the vehicle and WSDOT finds that your organization is otherwise in compliance with the grant agreement, the proportionate local share of the insurance proceeds will be forwarded to you.

If you intend to replace the vehicle, it must be replaced with a like vehicle (value at the time of the incident, capacity, wheelchair accessibility, etc). Once the replacement is received by your organization, you must send a copy of the vendor invoice and the registration (showing WSDOT as legal owner) to WSDOT. Upon receipt of the documentation, WSDOT will forward the entire amount of the insurance proceeds to your organization.

Note: WSDOT will release legal ownership of the replacement vehicle based on the purchase date and useful life of the original vehicle.

On the following pages, you will find copies of the forms you need to invoice the Washington State Department of Transportation (WSDOT) for your project expenses and the detailed instructions applicable for each form. The forms included in this Appendix are:

- [Operating Reimbursement Request](#)
- [Capital Reimbursement Request](#)
- [Pre-Award Audit Trip Expense Worksheet](#)

WSDOT staff will provide your organization with an electronic invoice which contains formulas to automatically calculate your reimbursement and distribute the charge to each funding program for your project. The invoice will be in Excel format. If you are unable to access the form, contact the WSDOT staff member listed on page xi of the guide for instructions.

Note: WSDOT will not accept invoices which are not completed on the proper form. Nor will we accept forms that have been modified to include additional information or format changes.

How Do I Complete the Operating Reimbursement Request Form?

Reimbursement Request forms for operating grants may be submitted monthly or quarterly. We prefer that the forms be submitted quarterly.

Instructions for Operating Grant Invoicing

These instructions and the invoice forms will be provided to you electronically.

1. On your electronic form, the following information will already be completed with the exception of the invoice date and billing period. However, you should check the information and make any corrections necessary. Hidden “pop up” instruction boxes have been added to the forms to aid in completing the forms. Move your cursor over a flagged cell and instructions will appear to assist you.
 - a. Agency and Address: Agency’s name and address to which you would like the payment sent.
 - b. Agreement Number: Agreement number shown on your agreement with WSDOT for this project.
 - c. Federal ID Number: Number assigned to your agency by the Internal Revenue Service. This number is used as your vendor identification.
 - d. Invoice Date: The date the form was created.
 - e. Billing Period: Time period covered by the form.
2. Enter your operating expenses and revenue.
 - a. Gross Expenses: The total operating expenses during the billing period for the transportation services defined for your project in the agreement. Include ‘in-kind’ expense if also included in “local match.”
 - b. Fares and Donations: Any income received from passengers for transportation services provided to them.
 - c. Ineligible Expenses: The total of any ineligible expenses and/or depreciation of equipment purchased with federal funds. Some examples of ineligible expenses are:
 - Depreciation on vehicles funded with WSDOT grant funds.
 - Expenses incurred outside of the timeframe of the grant period.
 - Travel expenses for trips taken outside of Washington state without pre-approval from WSDOT.
 - Expenses reimbursed by WSDOT or any other organizations under scholarship programs, including your local match requirement.
 - Annual or sick leave earned outside of the grant period.

- d. **Net Expenses:** Subtract the Fares, Donations, and Ineligible Expenses from the Gross Expenses. A formula in the electronic form will calculate this for you.
 - e. **Local Match:** The total of all other funds your organization receives for your transportation services directly related to your project including any “in-kind” (see Chapter 2). Funds diverted to a capital and other restricted reserve accounts should not be included.
- 3. **Total Amount Requested:** Subtract the Local Match from the Net Expenses. A formula in the electronic form will calculate this for you.
 - 4. **Fund Source:** The electronic form contains equations to distribute the total amount requested between the funding types awarded for each project. You are strongly encouraged to use the electronic form provided with your contract. However, if you need to use the paper version of the form, leave this section blank.
 - 5. **Signature Block:** Your Chief Executive Officer or Financial Manager must sign the Reimbursement Request. WSDOT will not issue payment if the Reimbursement Request is not signed.

**Washington State Department of Transportation
Reimbursement Request
Operating Grants**

Organization:

Address:

City, State, and Zip:

Agreement Number:

Federal ID Number:

Invoice Date:

Billing Period:

Operating Expenses Per Project (Please attach additional invoice if more than one invoice is received for transportation services directly related to this project including any relevant 'in-kind' match)

Enter the total of all other funds your organization received for transportation services directly related to this project including any relevant 'in-kind' match

Enter time period covered by this invoice

Project A Title:

Fund Source - will compute automatically

Gross Expenses	Fares & Donations	Ineligible Expenses	Net Expenses	Local Match	Total Amount Requested	RM Current Law	RM Competitive	RM Transit Formula	Paratransit/Non-Profit	Paratransit/Transit	FTA 5311	FTA 5311(f)	JARC
			0.00		0.00								

Project B Title:

Fund Source - will compute automatically

Gross Expenses	Fares & Donations	Ineligible Expenses	Net Expenses	Local Match	Total Amount Requested	RM Current Law	RM Competitive	RM Transit Formula	Paratransit/Non-Profit	Paratransit/Transit	FTA 5311	FTA 5311(f)	JARC

Project C Title:

Fund Source - will compute automatically

Gross Expenses	Fares & Donations	Ineligible Expenses	Net Expenses	Local Match	Total Amount Requested	RM Current Law	RM Competitive	RM Transit Formula	Paratransit/Non-Profit	Paratransit/Transit	FTA 5311	FTA 5311(f)	JARC
			0.00		0.00								

Totals From Projects A, B, C - will compute automatically

Gross Expenses	Fares & Donations	Ineligible Expenses	Net Expenses	Local Match	Total Amount Requested	RM Current Law	RM Competitive	RM Transit Formula	Paratransit/Non-Profit	Paratransit/Transit	FTA 5311	FTA 5311(f)	JARC
0.00	0.00	0.00	0.00	0.00	0.00								

I hereby certify that the costs shown on this invoice reflect the true and actual costs incurred against this agreement.

Job Number:
2nd Amount (if applicable):
2nd Job Number (if applicable):

Work Order:
Object:
Org Code:

Signature

Date

Title

Reviewed By:

WSDOT ONLY

Approved By:

WSDOT ONLY

Form 06/03

How Do I Complete the Capital Reimbursement Request Form?

The following information will assist your organization in completing the invoice forms for all capital projects. Copies of the invoice form can be located immediately following these instructions.

If your organization was awarded a Capital grant, WSDOT staff will provide you with an electronic invoice which contains formulas to calculate your reimbursement and the charge to each funding program for your project. The form also contains hidden “pop up” comment boxes to provide instructions to aid in completing the invoice form. Move your cursor over a flagged cell and instructions will appear to assist you. The invoice will be in Excel format. If you are unable to access the form, contact the WSDOT staff member listed on page xi of the guide for instructions.

Reimbursement Request forms for capital grants may be submitted after a significant amount of expenditures have been incurred. If submitting a Reimbursement Request for a vehicle purchase, these should be submitted within 30 days after the acceptance of the vehicle.

Note: WSDOT will not accept invoices that are not completed on the proper form. Nor will we accept forms that have been modified to include additional information or format changes.

Instructions for Capital Grant Invoicing

These instructions and the invoice forms will be provided to you electronically.

1. Fill out all information in the heading:
 - a. Agency Name and Address: Your agency’s name and the address to which the payment will be sent.
 - b. Federal ID Number: The employer identification number assigned to your organization by the Internal Revenue Service.
 - c. Agreement Number: The agreement number shown on your agreement with WSDOT for this project.
 - d. IFP Publish Date: The date the invitation for bid was published for your project (required).
 - e. Contract Award Date: The date the contract was executed with the vendor for your project (required).
 - f. Contract Completion Date: The date the contract with the vendor was completed for your project (required).
 - g. Invoice Date: The date the Reimbursement Request form was created.

2. Equipment: The information in this section will vary based on the type of equipment purchased. You must provide all of this information before WSDOT will issue payment.
 - a. Equipment Description:
 - i. Vehicles: Enter the year, make, and model of each vehicle purchased.
 - ii. Other Equipment: Enter equipment description.
 - b. VIN/Serial Number:
 - i. Vehicles: Enter the vehicle identification number (VIN).
 - ii. Other Equipment: Enter the serial number from each piece of equipment.
 - c. Grantee Vehicle Number (vehicles only): The number assigned to vehicle by your organization.
 - d. Wheelbase Length/Gross Vehicle Weight (not applicable for vans or other equipment):
 - i. Minibuses and Cutaways: Enter the length of the minibus or cutaway from axle to axle and the gross vehicle weight.
 - ii. Buses: Enter the length and gross vehicle weight of the bus.
 - e. Passenger Seats/Wheelchair Securements: Number of passengers each vehicle will accommodate, plus the number of wheelchair securement areas.
 - f. Rear Wheels: Indicate whether the vehicle has single (S) or dual (D) rear wheels.
 - g. ADA Accessible: Indicate whether the vehicle is accessible to persons with disabilities. (All vehicles must meet ADA standards except vanpool vehicles. In which case, your organization may purchase non-accessible equipment as long as you have accessible equipment available for vanpool service.)
 - h. Date Accepted: Date that your agency notified the vendor that the vehicle had been accepted.
3. Pre-Award Audit Trip: If your organization conducted an on-site visit to the manufacturer, a Pre-Award Audit Trip Expense Worksheet must be completed. After the worksheet is completed, transfer the calculated costs to the Reimbursement Request form. If a Pre-Award Audit Trip was not taken, please attach an explanation.

4. Cost: Enter the amount shown on the vendor invoices. Public transit agencies need to deduct the ineligible local sales tax that is collected on its behalf from the invoiced cost.
5. Less Local Share: Calculate your agency's local share using the percentages provided in the contract.
6. Reimbursement Requested: Subtract the local share from the total costs.
7. Your project may be funded by Rural Mobility Competitive, Rural Mobility Transit Formula, Paratransit/Special Needs for Non-profit, Paratransit/Special Needs Transit Formula, FTA 5309, FTA 5310, FTA 5311, FTA 5311(f), or JARC funds. Your Reimbursement Request has been created to calculate these expenses based on the project fund sources defined in your agreement with WSDOT.
8. Signature Block: Your Chief Executive Officer or Financial Manager must sign the Reimbursement Request. WSDOT will not issue payment if the Reimbursement Request is not signed.
9. Required attachments for capital grants:
 - a. Vendor Invoices: Attach copies of all vendor invoices related to the expenses your are billing for.
 - b. Pre-Award Audit Trip:
 - i. Pre-Award Audit Trip Expense Worksheet: Complete this form to calculate expenses and state per diem rates.
 - ii. Trip itinerary and all travel expense receipts except for meal receipts.
 - c. Explanation if trip was not taken.
 - d. Post delivery inspection forms (see "Appendix C, Procurement Inspection Forms" for sample forms):
 - i. Visual Inspection Form.
 - ii. Road Test Form.
 - e. Post Delivery Purchaser's Requirements Certification form.
 - f. Copy of the vehicle registration.
 - g. Copy of the insurance certificate.
 - h. Copy of your vehicle acceptance letter to the vendor.

**Washington State Department of Transportation
Reimbursement Request
Capital Grants**

One Form Per Project

Organization Name:

Mailing Address:

City, State, and Zip:

Federal ID Number:

Agreement Number:

RFB Publish Date:

Contract Award Date:

Contract Completion Date:

Invoice Date:

Required: Enter the date the contract was executed with the vendor for this project

If Pre-Award Audit Trip was taken, please fill out the Pre-Award Audit Travel Worksheet to calculate costs. If trip was not taken, attach explanation.

Project # :

[illegible]

hereby certify that the costs shown on this invoice reflect the true and actual costs incurred against this agreement.

Pre-Award Audit Trip Cost (if applicable):

Total Cost: \$0.00

Less Local Share (%):

Reimbursement Requested: \$0.00

Reviewed By:

Approved By: _____ WSDOT ONLY

Form 06/05

Pre-Award Audit Trip Expense Worksheet

Traveler's Name & Agency: _____ GCA # _____

Meeting Location: _____ Date of Meeting: _____

Please show below your normal work schedule (i.e. Monday-Friday, 8:00 am – 5:00 pm)

Date, time, and location of departure from home or work: _____

Date, time, and location of return to home or work: _____

Personal Auto Mileage

Miles Driven to Airport _____

Miles Driven from Airport _____

Total Miles _____ x .405 = \$ _____

Meals

Breakfast _____ Meals @ \$ _____ = \$ _____

Lunch: _____ Meals @ \$ _____ = \$ _____

Dinner: _____ Meals @ \$ _____ = \$ _____

Total Meals \$ _____

Miscellaneous Expenses

Parking Fees: _____

Lodging: _____

Airfare: _____

Other (Specify): _____

Total Miscellaneous Expenses \$ _____

TOTAL PRE-AWARD AUDIT TRIP EXPENSE: \$ _____

Travel itinerary and receipts must be submitted for all expenses except meals.

Attach your written trip pre-authorization from WSDOT and this form to your Reimbursement Request form.

**Note: Lodging, mileage, and meals are reimbursed at the state per diem rates. State per diem rates are subject to change. For state per diem rates at your destination visit the web at: <http://www.ofm.wa.gov/policy/travel.htm> or contact the Public Transportation and Commute Options Office at (360)705-7839.*

All grantees are required to submit Quarterly Progress Reports to the Washington State Department of Transportation (WSDOT). To demonstrate that grant funds are administered effectively and efficiently, WSDOT uses the progress reports to account to the state legislature, the State Transportation Commission, the Federal Transit Administration (FTA), and the Secretary of Transportation. In addition, WSDOT staff use the reports to highlight your successes and identify areas where organizations may need technical assistance. These instructions will help you provide accurate, consistent, and on-time progress reports. The Quarterly Progress Reports now feature hidden “pop up” instructions to aid in completing the electronic forms. Move your cursor over a flagged cell and instructions will appear to assist you.

Who Must Complete the Quarterly Progress Reports?

Progress reports must be submitted by all organizations receiving funds from the grant programs listed below:

- FTA 5309 Capital
- FTA 5310 Capital
- FTA 5311 Capital and Operating
- FTA 5311(f) Capital and Operating
- Rural Mobility Competitive
- Rural Mobility Transit Formula
- ParaTransit/Special Needs Non-Profit
- ParaTransit/Special Needs Transit Formula
- JARC (Job Access and Reverse Commute)

What Information Must be Reported?

Project Narrative

Complete a Project Narrative for each agreement. Your Project Narrative should summarize each project identified in the grant agreement.

Operating Project Narrative

You may incorporate the following suggested topics in your operating Project Narrative:

- How you are implementing the program?
- Describe any problems you are having.
- Describe any successes you are having.
- How you are marketing the project?

- How you are coordinating transportation with the local ACCT Coordinating Council and other transportation providers in your area.
- If your project is a new start, when did or when will you start service?
- Will you have sufficient funding to complete the project? Do you need more funding or will you be able to turn back surplus funds?
- Do you foresee any significant changes in the project?
- Describe training you are providing to drivers, dispatchers, and supervisors.

Please furnish the following materials when appropriate:

- Schedules and route maps.
- Advertisements, flyers, posters, and other marketing materials.
- News releases, articles, and other publicity.
- A project report to your Board of Directors.
- Photos of your service in action.

Capital Project Narrative

Include the following in your Capital Project Narrative:

- Describe where you are in the procurement process.
- Describe any problems you are having.
- Describe any successes you are having.
- Is your funding sufficient? Will you be able to turn back surplus funds?

Detail of Match for Operating Expenditures

Report the operating expenditures for each project identified in your contract that require match, listing the sources of matching funds. Figures should reflect the invoices submitted to WSDOT from the contract start date through the quarter end date for which you are reporting (project-to-date).

Operating Expenditure by Service Type

Operating projects may include multiple types of service. To determine the amount of funds spent for each type of service, break out your net operating expenditures by service type. Only include expenditures from the quarter for which you are reporting (expenses for the quarter only).

Statistical Summary by Service Type for your operating contract, report the following statistics by service type from the quarter for which you are reporting (ridership for the quarter only):

Passenger Trips (Boardings)

Report the total number of passengers that board operational revenue vehicles during the reporting period. Passengers are counted each time they board vehicles no matter how many vehicles they use to travel from their origin to their destination. Trips should be counted regardless of whether an individual fare is collected for each leg of travel. Include passenger trips on personal vehicles used in service.

Revenue Vehicle Miles

Report the total number of miles a vehicle travels while in scheduled revenue service for the reporting period. A transit vehicle is in revenue service only when the vehicle is available to the public and there is reasonable expectation of carrying passengers that either directly pay fares, are subsidized by public policy, or provide payment through some contractual arrangement. This does not imply that a cash fare must be paid. Revenue service excludes deadhead, exclusive school bus, and charter service but includes purchased transportation service. Travel between the destination of a paratransit client and the pick up location of the next paratransit client is considered revenue miles.

Revenue Vehicle Hours

Report the total amount of time in hours a vehicle travels while in scheduled revenue service for the reporting period. A transit vehicle is in revenue service only when the vehicle is available to the public and there is reasonable expectation of carrying passengers that either directly pay fares, are subsidized by public policy, or provide payment through some contractual arrangement. This does not imply that a cash fare must be paid. Revenue service excludes deadhead, exclusive school bus, and charter service but includes purchased transportation service. Travel between the destination of a paratransit client and the pick up location of the next paratransit client is considered revenue hours.

Note: If your service is funded by multiple funding sources, divide the statistics based on percentages identified in your contract.

Capital Expenditures

For capital contracts, report each active project's net expenses during the quarter for which you are reporting. The quarter the procurement is complete will be the last time you report expenditures.

Disadvantaged Business Enterprise (DBE) Annual Report

Only organizations receiving federal operating or federal capital funds (other than buses) will be required to report on DBE efforts. DBE Annual Reports need to be submitted annually with the December 31 progress report.

Note: Organizations who intend to award contracts cumulatively exceeding \$250,000 using FTA funds during a federal fiscal year (excluding rolling stock) must have a formal DBE Plan.

Annual Public Transportation Management System – Owned Rolling Stock Inventory

This inventory must be completed for all passenger vehicles in your fleet, including spare vehicles. Maintenance and staff-only vehicles are excluded. The inventory is due annually with the December 31 progress report and must be signed and submitted by mail. Upon receiving this rolling stock inventory, WSDOT staff will compare your document with WSDOT's vehicle inventory database, completing the vehicle reconciliation process.

Annual Capital Agreement Compliance Certification

A Capital Agreement Compliance Certification must be submitted by any organization that has purchased capital equipment with state and/or federal grant funding. This certification must be submitted once a year with the December 31 reports throughout the useful life of the equipment.

When are the Quarterly Progress Reports Due?

Quarterly Progress Reports must be submitted four times each year for the quarters ending March 31, June 30, September 30, and December 31. Reports are due within 45 days after the end of each three-month quarter.

What Happens if I Fail to Submit Quarterly Progress Reports?

If WSDOT does not receive your progress report by the due date, submitted invoices will be held without payment until an acceptable report is received.

Note: Failure to submit the required reports may jeopardize your ability to access current or future grant funds through WSDOT.

Do I Submit Separate Quarterly Progress Reports for Each Contract?

Yes. You need to submit separate Quarterly Progress Reports for each contract.

Operating Contract

For each operating contract, you need to submit the following:

- Project Narrative (summarizing each project identified in your contract).
- Detail of Match for Operating Expenditures (if match is required by agreement).
- Operating Expenditure Report by Service Type.
- Statistical Summary by Service Type.
- Disadvantaged Business Enterprise Annual Report (once per year, if applicable).
- Owned Rolling Stock Inventory (once per year).

Capital Contract

For each capital contract, you need to submit the following:

- Project Narrative (summarizing each project identified in your contract).
- Capital Expenditures.
- Disadvantaged Business Enterprise Annual Report (once per year, if applicable).
- Owned Rolling Stock Inventory (once per year).

Note: If you received a grant to purchase a vehicle and the vehicle it is not supported by an operating grant, you must report the operating statistics for the routes that vehicle supports. Use the Statistical Summary by Service Type to report the data. **Please identify the project as a capital support project.** The purpose of this report is to make data available for legislative reporting regarding the service impacts that have resulted from vehicle purchases.

Who Do I Submit the Reports to?

You may submit Quarterly Progress Reports electronically or by mail to David Chenaar at the following:

Washington State Department of Transportation
Public Transportation and Commute Options Office
P.O. Box 47387
Olympia, WA 98504-7387

Note: Annual Public Transportation Management System (PTMS) Inventories must be submitted by mail with an original signature.

Who Do I Call for Assistance Regarding the Quarterly Progress Reports?

Contact David Chenaar at (360) 705-7839.

<p>Project Narrative Quarterly Progress Report</p>

For the Quarter Ending: _____

Agency:

GCA Number:

Contact Name:

Phone Number:

Directions: Complete one Project Narrative for each contract. If you have more than one project identified in your contract, please report on each project.

Project Status, Accomplishments, and Challenges:

WSDOT Public Transportation
Detail of Match for Operating Expenditures
Quarterly Progress Report (Project-to-Date)
For the Quarter Ending:

Organization:
 GCA Number:

List all amounts by Project		Project A	Project B	Project C	Project D	Project E	Project F	Project G	Totals
Gross Expenses									\$0.00
Less Fares and Donations									\$0.00
Less Ineligible Expenses									\$0.00
Net Expenses		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Less Local Match (List Sources of Match Below)									
1									\$0.00
2									\$0.00
3									\$0.00
4									\$0.00
5									\$0.00
Total Local Match		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Funding Source									
RM Current Law									\$0.00
RM Competitive									\$0.00
RM Transit Formula									\$0.00
Para Transit/SN Non-profit									\$0.00
Para Transit/SN Transit Formula									\$0.00
FTA 5311									\$0.00
FTA 5311(f)									\$0.00
JARC									\$0.00
Total Amount Requested		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Local Match Percentage (Total Local Match divided By Net Expenses)		#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	
Local Match Required by Contract									

Enter end of the quarter date (i.e. 12/31/2005)
 Date will automatically be added to other worksheets.

Enter the total gross expense for Project A from the beginning of the project to the end date of the quarter you are reporting

Enter amount of match contributed for Project A from beginning of project to end date of quarter for each source.

Enter in appropriate cell the amount of funds you have received and/or will bill by fund type from beginning of project to end date of quarter you are reporting

FORM 2003-2005

WSDOT Public Transportation

Operating Expenditures by Service Type
Quarterly Progress Report
For the Quarter Ending:

Organization:
GCA Number:

This report is submitted quarterly
(4 times a year). Information
reported is for the quarter
only.

Funding Sources	Fixed Route	Route Deviated	Demand Response	Intercity	Vanpool	Other (Define)	Total
Expenses reported should reflect the NET EXPENSES for this quarter only							
Rural Mobility Competitive							\$0.00
Rural Mobility Transit Formula							\$0.00
ParaTransit/Special Needs Non-profit							\$0.00
ParaTransit/Special Needs Transit Formula							\$0.00
FTA 5311 General Public							\$0.00
FTA 5311(f) Intercity							\$0.00
Job Access and Reverse Commute (JARC)							\$0.00
Local Match Funds							\$0.00
Total Net Expenditures this Quarter	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Net Expenditures to Date							\$0.00
Total Agreement Budget for Service							\$0.00
Balance	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
% Budget Spent	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!

Enter amount of Rural Mobility Transit
Formula funds spent during the quarter in
the appropriate Service Type column(s).

Total Net Expenditures this quarter should equal
grant funds + local match reported this period only.
Total will calculate automatically.

% budget Spent should match
percentage of funds depleted.
Percentage calculates automatically.

FORM 2003-2005

WSDOT Public Transportation

Organization: _____

GCA Number: _____

Statistical Summary by Service Type
Quarterly Progress Report
For the Quarter Ending: _____

Enter your agency name.
Name is automatically
displayed if you have
completed an Operating
Expense report.

	Fixed Route	Route Deviated	Demand Response	Intercity	Vanpool	Other (Define)	Total
Passenger Trips (one way boardings)							
Rural Mobility Competitive							0
ParaTransit/Special Needs Non-profit							0
ParaTransit/Special Needs Transit Formula							0
FTA 5311 General Public							0
FTA 5311(f) Intercity							0
Job Access and Reverse Commute (JARC)							0
Local Match Funds							0
Total Boardings	0	0	0	0	0	0	0
Revenue Vehicle Miles							
Rural Mobility Competitive							0
ParaTransit/Special Needs Non-profit							0
ParaTransit/Special Needs Transit Formula							0
FTA 5311 General Public							0
FTA 5311(f) Intercity							0
Job Access and Reverse Commute (JARC)							0
Local Match Funds							0
Total Revenue Miles	0	0	0	0	0	0	0
Revenue Vehicle Hours							
Rural Mobility Competitive							0
ParaTransit/Special Needs Non-profit							0
ParaTransit/Special Needs Transit Formula							0
FTA 5311 General Public							0
FTA 5311(f) Intercity							0
Job Access and Reverse Commute (JARC)							0
Local Match Funds							0
Total Revenue Hours	0	0	0	0	0	0	0

Statistics should reflect this quarter only

Passenger Trips: Report the total number of passengers that board operational revenue vehicles during the quarterly reporting period. Passengers are counted each time they board vehicles no matter how many vehicles they use to travel from their origin to their destination. Trips should be counted regardless of whether an individual fare is collected for each travel leg. Include passenger trips on personal vehicles used in service

Revenue Vehicle Miles: Report the total number of miles for the reporting period that all vehicles travel from the time they pull out to go into revenue service to the time they pull in from revenue service, including the miles of personal vehicles used in service

Revenue Vehicle Hours: Report the total amount of time in hours for the reporting period that all vehicles travel from the time they pull out to go into revenue service to the time they pull in from revenue service, including the hours of personal vehicles used in service

FORM 2005-2007

Note: If your service is funded by multiple funding sources, divide statistics based on percentages identified in your contract.

WSDOT Public Transportation

Capital Expenditures
Quarterly Progress Report
For the Quarter Ending:

Enter the end date of the
quarter you are reporting
(i.e. 12/31/2005).

Organization:
GCA Number:

Need Help???
Contact: Contract & Grant Technical Support
(360) 705-7839

Funding Sources	Project A	Project B	Project C	Project D	Project E	Project F	Total
<i>Expenses reported should reflect the NET EXPENSES for this quarter only</i>							
Rural Mobility Competitive							\$0.00
Rural Mobility Transit Formula							\$0.00
Paratransit/Special Needs Non-profit							\$0.00
Paratransit/Special Needs Transit Formula							\$0.00
FTA 5309 Bus and Bus Related							\$0.00
FTA 5310 Capital							\$0.00
FTA 5311 General Public							\$0.00
FTA 5311(f) Intercity							\$0.00
Job Access and Reverse Commute (JARC)							\$0.00
Local Match Funds							\$0.00
Total Net Expenditures this Quarter	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Net Expenditures to Date							\$0.00
Total Budget for Project							\$0.00
Balance	\$0.00			\$0.00	\$0.00	\$0.00	\$0.00
% Budget Spent	#DIV/0!			#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
Items to be Purchased (Identify by Project) :							
Request For Bid Advertised Date:							
Date of Bid Award:							
Date of Delivery:							
Date of Acceptance:							

(If dates above are estimated, please type an "E" next to the date)

Disadvantaged Business Enterprise (DBE) Annual Report For the Period Ending:

Agency:
 GCA Number:
 Contact Name:
 Phone Number:

Was your agency awarded \$250,000 or more in FTA funds to be received this Federal Fiscal year (October 1 – September 30)? Yes_____ No_____

If yes, does your agency expect to award contracts cumulatively exceeding \$250,000 using FTA funds during this federal fiscal year (excluding rolling stock)?

 Do you have a formal plan approved by FTA and on file with WSDOT? _____

Is your agency meeting its goals for purchases from DBE sources? _____

If no, amount of goods/services purchased: \$

Amount of goods/services purchased from DBE vendors: \$

(Only include purchases from outside vendors – do not include internal costs such as wages.)

Percentage of purchases from DBE vendors: %

DBE vendors used:

- 1.
- 2.
- 3.
- 4.

Description of good faith efforts:

Public Transportation Management System Instructions for Asset Inventories

In 2004, the Washington state Department of Transportation collected transit system data electronically and created a new database to maintain the information. This change in data collection improved the accuracy of transit statistics, simplified the preparation of data intensive reports and allowed state and local agencies an opportunity to access transit information from a common data library. To expand on the efficiencies of collecting and reporting transit numbers, the Public Transportation and Commute Options Office has prepared new public transportation asset inventory forms. This document will satisfy the state and federal requirements for submitting inventory information including the Federal Transit Administration's Public Transportation Management System and the state's Asset Management Inventory component.

Rolling Stock Form

Every vehicle used primarily for the transportation of passengers shall be reported on the Owned Rolling Stock Inventory. For the purposes of establishing a base year inventory, the information required will include: year/make/model; vehicle code; vehicle identification number (VIN); agency vehicle number; current odometer; condition; age; remaining useful life; replacement cost; ADA access; seating capacity; fuel type; and WSDOT title. A more complete definition of these inventory categories is provided below.

Facility Form

Every facility which has a replacement value of \$25,000 or greater shall be reported on the Owned Facilities Inventory. Facilities of a lesser value may be reported at the agency's discretion. For the purposes of establishing a base year inventory, the information required will include: facility code, facility name (or address); condition; age; remaining useful life; replacement cost; detailed facility description; and any comments about the facility which the reporting agency wishes to have noted. A more complete definition of these inventory categories is provided below.

Equipment Form

Every piece of equipment which has a replacement value of \$100,000 or greater shall be reported on the Owned Equipment Inventory. Equipment with a value less than \$100,000 may be reported at the discretion of the reporting agency. Equipment is considered to be anything that is not permanently installed or an integral part of a facility, exclusive of rolling stock utilized in transporting the public. For the purposes of establishing a base year inventory, the information required will include: equipment code or type; condition; age; remaining useful life; replacement cost; and, any additional description or comments about the equipment which the reporting agency wishes to have noted. A more complete definition of these inventory categories is provided below.

Inventory Definitions

Year/Make/Model	<p>Year: Year of vehicle manufacture.</p> <p>Make: The name of the manufacturer of the vehicle.</p> <p>Model: Name or number of vehicle model.</p>
Vehicle Code or Equipment Code	A table of rolling stock categories provided below assigns a code for each vehicle type. A list of examples of equipment types and code number is shown below.
Vehicle Identification Number (VIN)	The serial number assigned by the manufacturer.
Agency Vehicle Number	The internal tracking number assigned to this vehicle by your agency.
Condition	The point rating that best describes the condition of the asset. Maintenance staff should be involved in establishing the condition score. If there are any issues related to the asset that are considered significant enough to be noted, please provide a comment in the appropriate column or attach an additional comment page. Example might be plans for rehabilitation or identification of "lemons".
Age	Years since the facility was completed and opened for use or years since the manufacture of equipment or vehicle.
Remaining Useful Life	The estimated number of years that the asset will be able to carry out its intended purpose before being replaced.
Replacement Cost	The current year estimated purchase price for a new vehicle or equipment of this type. The current year estimated replacement cost for a new facility on the same site. Do not include costs for replacement of the land on which the facility is located.
Seating Capacity	Number of seats available to the public (includes driver for rideshare vehicles). Indicate the number of positions for wheelchairs as '+' and indicate that number (example: 30+2).
Fuel Type	Indicate the fuel type by listing the appropriate letter: diesel (D), gasoline (G), biodiesel (BD), electric (E), diesel/electric (DE), compressed natural gas (CNG).
WSDOT Title	Is the title to this vehicle currently held by WSDOT?
Comments	<p>If there are any issues related to the asset that are considered significant, they should be noted. If your comments exceed two lines, please attach a separate comment page.</p> <p>Examples of comments regarding equipment or rolling stock might be plans for rehabilitation, elimination, or anticipated replacement due to changes in technology or other requirements.</p> <p>Examples for facility comments might be plans for rehabilitation, elimination, or anticipated relocation of some functions from this site to another. Problems with specific subsystems or issues regarding ability to address</p>

Vehicle Codes

01	Bus - 40 ft.	15	Rail Cars - LRT
02	Bus - 35 ft.	16	Rail Cars - Rapid
03	Bus - 30 ft.	17	Rail Cars - Commuter Self-Propelled
04	Bus - <30 ft.	18	Rail Cars - Commuter Trailer
05	Bus - articulated	19	Rail Cars - Trolley
06	Bus - Intercity	20	Rail Cars - Intercity
07	Bus - Trolley	21	Locomotive
08	Bus - Trolley Articulated	22	Cable Car
09	Bus - Double Deck	23	People Mover
10	Bus - Dual Propulsion	24	Car - Incline Railway
11	Cutaway (under 30 ft.)	25	Fixed Guideway Cars (e.g., Monorail)
12	Body-on-Chassis (under 30 ft.)	26	Ferry Boats
13	Van - Vanpool	27	Streetcar Replicas
14	Van - Special Service	28	Other

Facility Codes

01	Power Distribution Substations	13	Incline Railway
02	Tunnels	14	Track System
03	Bridges	15	Overhead Power Distribution System
04	Elevated Right of Way/Track	16	Passenger Amenities (Shelters, Restrooms, etc.)
05	People Mover	17	Terminals, Intermodal
06	Transit Center	18	Toll Booths
07	Boarding Platforms/Stations/Floats	19	Uncovered Bus Storage
08	Pedestrian Access Facilities	20	Covered Bus Storage
09	Park and Ride Lots	21	Wash Islands/Fuel Islands
10	Administration Building	22	Warehouse/Storage
11	Maintenance Building	23	Multifunctional (Ops. And Maint.; Ops, and Admin.)
12	Rail Yards/Shop	24	Other

Equipment Codes

01	Line Equipment/Structures	09	Shop equipment (Other than permanently installed; e.g. port hoist)
02	Fare Collection Equipment (Stationary)	10	Signage systems
03	Surveillance/Security System	11	Navigational Devices (ex. Dolphins & wingwalls)
04	Automated Data Processing or Computer Hardware/Software Systems	12	Life Safety Equipment
05	Support Vehicles/Vessels	13	Bicycle Locker/Racks (Stationary)
06	Work Trains	14	Accessibility Devices
07	Train Control/Signal Systems	15	Power Distribution Control and Monitoring System

Condition - Point Score Definitions*

100	Requires routine preventive maintenance.
80 - 90	In good working order, requiring only nominal or infrequent minor repairs.
50 - 70	Requires frequent minor repairs or infrequent major repairs.
20 - 40	Requires frequent major repairs.
10	Continued use presents excessive repair costs and/or potential service interruption.
<ul style="list-style-type: none"> ● <i>Frequent means less than 6 months between repairs.</i> ● <i>Infrequent means more than 6 months between repairs.</i> 	

* The following subsystems should be considered in assigning the point score for each vehicle:

Engine	Body - Interior
Drive-Train	Body - Exterior
Electrical	A/C, Heating
Suspension/Steering	Brake System
Structure	Wheelchair Lift (0 score for non-lift equipped)

* The following subsystems should be evaluated as a part of the facility if it exists within the facility:

Heating, ventilation, and air conditioning systems (HVAC)	Functional capacity (does the current use exceed design capacity)
Roof	Safety (alarms, detector, security, sprinkler, extinguishers, etc.)
Structure (walls, floors, windows, and foundation)	Communications (including signage)
Electrical/lighting	Accessibility (ADA)
Parking/driving surfaces (include tract system in rail yard)	Mechanical (fixed or built-in) (examples include vehicle hoists, elevators, cranes, delivery systems for fuel island)
Pedestrian access	Fuel, Fluid, or chemical storage
Water/sewer	

Public Transportation Management System Owned Rolling Stock Inventory

Agency/Organization: _____

Date: _____

I hereby certify that all information reported in this inventory reflects true, accurate and complete information for the agency/organization listed.

Signature and Title

Date

Year/Make/Model	Vehicle Code	Vehicle Identification Number (VIN)	Agency Vehicle Number	Current Odometer	Condition (points)	Age (years)	Remaining Useful Life (years)	Replacement Cost \$	ADA Access (yes/no)	Seating Capacity	Fuel Type	WSDOT Title (yes/no)
1.												
2.												
3.												
4.												
5.												
6.												
7.												
8.												
9.												
10.												
11.												
12.												
13.												
14.												
15.												
16.												

Public Transportation Management System
Owned Equipment Inventory

Agency/Organization: _____
Date: _____

Equipment Code and Description	Condition (points)	Age (years)	Remaining Useful Life (years)	Replacement Cost (\$)	Comments (If more than two lines, please attach a separate comment page)
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
13.					
14.					
15.					
16.					

**Public Transportation Management System
Owned Facility Inventory**

Agency/Organization: _____

Date: _____

Facility Code	Facility Name	Condition (points)	Age (years)	Remaining Useful Life (years)	Replacement Cost (\$)	Comments <i>(If more than two lines, please attach a separate comment page)</i>
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						
11.						
12.						
13.						
14.						
15.						
16.						

Annual Capital Agreement Compliance Certification

_____ (*grant recipient*) hereby certifies that the project equipment purchased through Grant Contract Agreement GCA _____, is still being used as described in the Scope of Work and designated Service Area; is being used in compliance with all terms of said Agreement; and no part of the local contribution to the cost of the project has been refunded or reduced.

Signature: _____ Title: _____ Date: _____

This appendix contains the forms you need to complete when visiting the manufacturer's factory and following delivery of a vehicle purchased with grant funding.

- [Pre-Award Audit Checklist](#)
- [Pre-Award Factory Visit Checklist](#)
- [Mid Construction Factory Visit Inspection Checklist](#)
- [Visual Inspection Form](#)
- [Road Test Form](#)
- [Post Delivery Purchaser's Requirements Certifications](#)

Electronic versions of these forms can be found on the CD that accompanies your guide. If you are unable to open the electronic files, please contact the Washington State Department of Transportation staff members listed on page xi of this guide.

Pre-Award Audit Checklist

Organization Name: _____ GCA # _____

Vendor Name: _____ Date of Visit: _____

Type of Vehicle Bid: _____

Use this checklist while reviewing the pre-award audit requirements and to ensure that you have executed all pertinent certifications for your vehicle procurement as required by:

- Title 49 of the CFR, Part 663 – Subpart B, **Buy America Certification**
- Title 49 of the CFR, Part 663 – Subpart D, **Federal Motor Vehicle Safety Standards**
- Title 49 of the CFR, Part 665 – Subpart A, **Altoona Bus Testing**

YES NO N/A

— — — Has the vendor submitted a copy of Altoona Bus Testing report with the vehicle bid documents?

— — — Has the vendor submitted a copy of Pre-Award Buy America Compliance certification? The Pre-Award Buy America Compliance certification should include:

— — — A listing of the vehicle components and subcomponents that will be used to calculate the percent domestic content

— — — The proposed final assembly location

— — — Activities that will take place during final assembly

— — — The total cost of the vehicle final assembly

— — — Has the vendor submitted a complete Pre-Award Federal Motor Vehicle Safety Standards (FMVSS) Compliance Certification?

Signature

Date

Pre-Award Factory Visit Checklist

Organization Name: _____ GCA # _____

Vendor Name: _____ Date of Visit: _____

Type of Vehicle Bid: _____ Location: _____

Is the factory visit being conducted for your agency only? Yes ☐ No ☐

If the factory visit is also being conducted on the behalf of other agencies, please list the agencies' names.

1. _____	4. _____	7. _____
2. _____	5. _____	8. _____
3. _____	6. _____	9. _____

The critical part of the factory visit is to ensure that the factory is able to build your vehicle to specifications. **You must use your vehicle specifications** as a checklist while inspecting your vehicle production. Be sure to ask questions to learn about the production of your vehicle. Please complete the following checklist while conducting your factory visit.

Yes No

☐ ☐ Is the factory a certified Transit Vehicle Manufacturer?

☐ ☐ Is the factory a Qualified Vehicle Modifier?

☐ ☐ Does the factory implement quality control during the production of the vehicle?

How does the factory conduct final inspection of the vehicle? _____

What process does the factory take to correct errors? _____

☐ ☐ Did you meet with the factory representative to thoroughly review your final vehicle specifications?

☐ ☐ Were there any discrepancies found in your vehicle specifications and the factory's understanding of your order? If yes, please identify:

How did the manufacture resolve discrepancies in your vehicle specifications? _____

☐ ☐ Was the factory production manager available to answer your questions or concerns?

Please list name(s) _____

When is your vehicle scheduled for production? Est. Date _____

When is your vehicle scheduled for delivery to the dealer? Est. Date _____

___ ___ Does the manufacturer anticipate any problem with on time delivery?

Please list reason(s) _____

How does the factory monitor the production of your vehicle? _____

___ ___ Does the manufacturer have all vehicle parts and supplies readily available for the production of your vehicle? If no, explain _____

___ ___ Was the facility clean and orderly?

Comments: _____

Signature of Individual Conducting Factory Visit

Date

Please file a completed original checklist in your procurement file and send a copy to WSDOT.

Mid Construction Factory Visit Inspection Checklist

The following is a suggested checklist that you can use to conducting a mid construction factory visit. A mid construction factory visit is required when purchasing 10 or more vehicles through a single bid. You should modify this checklist to reflect your actual vehicle specifications.

- ☐ Chassis (vehicle chassis model i.e., 200X *Ford Model E-450 Super Duty*)
- ☐ Engine (engine specification i.e., 6.8 liter *Ford Triton*, V-10, direct fuel injected)
- ☐ Transmission (transmission specification i.e., Automatic, 4R 100 4 speed overdrive)
- ☐ Dimensions (vehicle dimension, actual measurement)
 - ☐ Wheel Base: 158 inches
 - ☐ Overall Length: 276 inches maximum
 - ☐ Overall Exterior Height: 11 5 inches maximum
 - ☐ Overall Exterior Width: 98 inches maximum
 - ☐ Interior Height: 74 inches minimum
 - ☐ Interior Width: 91 inches minimum
- ☐ Wheels, Wheel Wells And Related Items
- ☐ Tire *OEM*, minimum 10 ply LT225/75R/16E BSW mounted on wheels
- ☐ Shock Absorbers and Stabilizers
 - ☐ Front and rear HD Double Acting Shock Absorbers: 1.375 inch diameter, gas filled.
 - ☐ Front Stabilizer Bar: 1-inch diameter.
 - ☐ Rear Stabilizer Bar: 1.25-inch diameter
- ☐ Braking system
 - ☐ HD dual Hydraulic Power Assisted
 - ☐ Four Wheel Anti-Lock, Disc Type
 - ☐ HD Cable-Actuated Parking With Warning Light
- ☐ Exhaust System
- ☐ Steering Power assisted with OEM Tilt Steering Wheel And Cruise Control
- ☐ Electrical system
 - ☐ Alternator
 - ☐ Audible Reverse Alarm
 - ☐ Dual OEM 12-Volt Batteries With A Minimum Combined CCA of 1, 250 amps

- ☐ Flooring material
 - ☐ Type (Non-slip)
 - ☐ Color (Gray)
- ☐ Mirrors (*Metagal* Convex Rear View Mirror)
- ☐ Instrument Panel
 - ☐ Gauges, Warning Light etc..
 - ☐ Illumination
- ☐ Seating
 - ☐ Driver Seat (type of seat)
 - ☐ Passenger Seat (number of seats, seating configuration)
- ☐ Heating, Air Conditioning And Ventilation
 - ☐ Heating (OEM)
 - ☐ Rear Air Conditioning (40,000 BTU)
- ☐ Body Exterior
 - ☐ One-inch Rub Rails Composed Of Flexible, Resilient Material
 - ☐ Install Lockable Fuel Cap Access Door
 - ☐ Ground Clearance
 - ☐ 12 inches Clearance From Ground To First Step
 - ☐ 13 inches Clearance Form Ground To Battery Box
- ☐ Body Interior
 - ☐ Raised Floor Design
 - ☐ Metal Deck Shall Be Covered With Minimum 0.625-Inch Marine Grade Plywood
 - ☐ 125 inch Black Smooth Transit Type Matting With Anti-Skid Properties
 - ☐ Interior Entrance Steps Are Metal Backed
 - ☐ Handrail
 - ☐ Stanchion
- ☐ Door and Doorways
 - ☐ OEM Driver Door
 - ☐ Transit Door Type for Passenger Door
 - ☐ Wheel Chair Lift Access Door

- ☐ Windows
 - ☐ Tinted Laminated Safety Glass And Sun Visor Tinting Windshield
 - ☐ Two Of The Side Windows Shall Be Emergency Kick-Out Type
 - ☐ Rear Window
- ☐ Wheelchair Lift
 - ☐ Mount Braun Model #919
 - ☐ Control Switch Location
 - ☐ Grab Rail
 - ☐ Interlocking System
 - ☐ Wheelchair Securement
 - ☐ Two Wheelchair Securement Station
 - ☐ Tie-Down System
 - ☐ L Track
- ☐ Miscellaneous Items
 - ☐ First Aid Kit
 - ☐ One set of Cable Type Tire Chains
 - ☐ Fire Extinguisher
 - ☐ Emergency Seat Belt Cutter

Comments: _____

Signature of Individual Conducting Factory Visit

Date

Please file a completed original checklist in your procurement file and send a copy to WSDOT.

Visual Inspection Form

Organization Name _____ GCA # _____

Vehicle Manufacturer: _____ VIN: _____

Inspection Location: _____ Vehicle Type: _____

The following items must be inspected on each vehicle received under your grant.

Item	Requirement	Instruction	Result	Date	Remarks
Curb Weight	Maximum curb weight of _____ lbs	Measure on certified scale	Weight _____ lbs		
Buy America	Received Final American Content Report	Check to see if received, review for compliance	yes/no		
FMVSS Stickers	Affixed to the vehicle	Locate sticker	yes/no		
FMVSS Test Report	Received prior to or upon delivery of the vehicle	Check to see if received, review report	yes/no		
Altoona Testing Report	Received copy of report for vehicle make/model	Check to see if received, review report prior to vehicle acceptance	yes/no		
Finish and Color	Smooth body surfaces and paint	Visually inspect all surfaces for flaws	Pass/Fail		
Interior Panel Fastening	Absence of rough edges or surfaces	Visually inspect for proper installation	Pass/Fail		
Towing Devices	Provision of towing eyes (front/rear)	Verify presence of towing eyes	Pass/Fail		
Door Control	Opening time of _____ seconds	Verify door opening time frame	Pass/Fail		
Interior Lighting	Lighting operable without engine	Switch on all interior lights while engine is not running	Pass/Fail		
Exterior Lights & Turn Signals	All exterior lights and turn signals operable	Switch on and verify all lamps and turn signals are working properly	Pass/Fail		
Emergency Exits and Signs	Emergency exit signs include operating instructions	Emergency exit operates with ease, clearly marked and fully accessible	Pass/Fail		
Fuel Tank	Fill rate and filler location	Inspect filler for easy access and check fill rate	Pass/Fail		
Chassis	Welds, axles, suspension, steering, wheels, and brakes	Inspect for leaks and interference. Check fluid levels, welds, undercoating, air lines, brake slack, and lug nuts	Pass/Fail		
Electrical	Wiring and junction boxes	Inspect for loose or stretched wires	Pass/Fail		
Batteries	Secured and polarized wiring access for jump start	Inspect compartment and jumper cable access	Pass/Fail		
HVAC	Capacity and performance	Operate HVAC, check compressor, condenser, flow, and temperature	Pass/Fail		
ADA Accessibility	Doors & aisles ADA accessible	Measure door way and aisle clearance	Pass/Fail		
Wheelchair Access	Compliant wheelchair lift or ramp doors and securement areas	Inspect and operate wheelchair lift or ramp, inspect operation, and measure securement areas	Pass/Fail		
Power Plant	Mounting and arrangement	Check for loose lines, leaks, and noises. Check fluid levels, belt alignment, and cap fit	Pass/Fail		

Signature and Title

Date

Road Test Form

Organization Name _____ GCA# _____

Vehicle Manufacturer: _____ VIN: _____

Location test was conducted: _____ Vehicle Type: _____

The following items must be inspected on each vehicle received under your grant.

Item	Requirement	Inspection Instruction	Result	Date Inspected	Remarks/ Notes
Engine	N/A	Record low idle, fast idle, and high idle speeds	Low _____ Fast _____ High _____		
Service Brakes	Stopping Distance	Verify function and indicator, check for pulling to either side	Pass/Fail		
Parking Brake	N/A	Verify indicator and no movement when on	Pass/Fail		
Turning Effort	Steering wheel torque	Check effort with coach stopped	Pass/Fail		
Turning Radius	Not to exceed _____ at corner of body	Verify turning radius in both directions	Pass/Fail		
Acceleration	_____ rate from 0 to _____ mph	Verify acceleration on smooth road	Pass/Fail		
Resonance	Absence of audible and/or visible vibrations	Operate vehicle at various speeds, check for vibrations and rattles	Pass/Fail		
Windshield wipers	Operational and evenly deposited wash fluid	Operate vehicle at safe speeds over 40 mph, check coverage, parking position, and wiper frequency	Pass/Fail		
Audible reverse alarm and lights	Audible reverse alarm and lights operable	Safely back up vehicle, check back up lights and alarm	Pass/Fail		
Power Plant	N/A	Check for leaks under vehicle and in engine compartment, check for abnormal noises	Pass/Fail		
HVAC	Interior temperature	Operate system, check internal and ambient temp	Pass/Fail		
Door Control	Accelerator and brake interlocks	At speeds less than 10 mph, verify accelerator and brake interlocks with door open	Pass/Fail		
General	N/A	During testing, observe and abnormalities in ride and handling of vehicle	Pass/Fail		

Signature and Title

Date

Post-Delivery Purchaser's Requirements Certification

(Ten or Fewer Vehicles)

As required by Title 49 of the CFR, Part 663 – Subpart C, after visually inspecting and road testing the contract vehicle(s) _____ (the Grantee) certifies that the vehicle(s) listed below,

Grantee's Vehicle No.	Vehicle Identification Number	Vehicle Description
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____
6. _____	_____	_____
7. _____	_____	_____
8. _____	_____	_____
9. _____	_____	_____
10. _____	_____	_____

purchased from _____ (the manufacturer), meet the original vehicle and contract specifications.

Signature

Title

Date

Post-Delivery Purchaser's Requirements Certification

(More than Ten Vehicles)

As required by Title 49 of the CFR, Part 663 – Subpart C, _____
 (the Grantee) certifies that a resident inspector, (name of the inspector, who is not an agent or
 employee of the manufacturer) _____ was at _____
 (name of the manufacturer) manufacturing site during the period of manufacture of the vehicles
 listed below (list the number, vehicle identification number and description of the vehicles):

Grantee's Vehicle No.	Vehicle Identification Number	Vehicle Description
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____
6. _____	_____	_____
7. _____	_____	_____
8. _____	_____	_____
9. _____	_____	_____
10. _____	_____	_____
11. _____	_____	_____
12. _____	_____	_____
13. _____	_____	_____

The inspector monitored manufacturing and completed a report on the manufacture of the vehicles providing accurate records of all vehicle construction activities. The report addresses how the construction and operation of the vehicles fulfill the contract specifications. After reviewing the report, visually inspection and road testing the vehicles, the Grantee certifies that the vehicles meet the contract specifications.

Signature

Title

Date

This appendix contains copies of the checklists used by the Washington State Department of Transportation (WSDOT) staff during a site visit. Reviewing each checklist will give you an overview of what questions will be asked and a basis for determining what staff will need to attend the meeting. The following checklists are included:

- [Site Visit Checklist](#)
- [FTA Drug Abuse and Alcohol Misuse Testing Program Subrecipient Program Compliance Checklist](#)
- [Procurement File Contents Checklist](#)

Site Visit Checklist

Beginning on page D-3, you will find the checklist WSDOT staff uses when conducting site visits. Please review this checklist prior to your site visit to ensure you have the proper staff and documentation available.

FTA Drug Abuse and Alcohol Misuse Testing Program Subrecipient Program Compliance Checklist

Beginning on page D-13, you will find the checklist WSDOT staff uses to review your compliance with FTA Drug and Alcohol testing. Please review the checklist prior to your Drug and Alcohol Program Review to ensure you have the proper staff and documentation available.

Procurement File Contents Checklist

Beginning on page D-23, you will find the checklist WSDOT staff uses to review your organization's compliance with required recordkeeping for grant funded purchases.



**Washington State
Department of Transportation**

Site Visit Checklist

Grantee _____

Agency representatives present at this site visit (include titles) _____

WSDOT representatives conducting review: _____

All Funding

Audit Report

Do you have a completed schedule of federal funds received? (*please provide copy*) _____

Did your agency expend over \$500,000 in Federal funds in the 2004 Federal fiscal year? _____

Did your audit agency perform the required single audit for federal funds exceeding the above limits? _____

- Has a copy of the audit report been sent to WSDOT? _____
- Were there any audit findings in the most recent audit report? _____ If so, what were they? _____

- If there were findings, how have the findings been addressed? _____

Employment Practices Civil Rights Compliance

What effort is being made to recruit minorities for employment and members of policy and advisory committees? _____

Once hired, are minorities and women given the same training and promotional opportunities as other employees? _____

Does your agency have a written policy in place to prevent harassment, intimidation, and coercion in any form (*please provide a copy*)? _____

Has your agency received any written complaints alleging discrimination in its employment practices or services provided within the last twelve months? _____

- If yes, what is the nature and status of the complaint? _____

Employment

Are all employees receiving minimum wage or higher? _____

Are any employees working on the project subject to overtime in accordance with the Fair Labor Standards Act? _____

- If yes, are these employees paid time and a half for hours worked in excess of 40 hours per week? _____

Does your agency have an adequate description for each position or group of positions? _____

- Specify whether the position is exempt or nonexempt from the FSLA? _____
- Specify whether the position is safety sensitive and subject to drug and alcohol testing? _____

- Are the physical requirements spelled out clearly? _____

Provide a copy of a job descriptions _____

Code Of Ethics

Does your agency have a written code of ethics (*Please provide a copy*)? _____

- Was a sample policy reviewed? _____
- Does the plan cover employees, officers, board members and agents? _____

Service Delivery

Are the services provided by your agency accessible to all people, regardless of Race, Color, Religion, Sex, National Origin, or Disability? _____

Please provide a set of bus schedules _____

Marketing Practices

Describe the advertising and marketing efforts your agency is making to promote or increase its service _____

Are transportation services made available to the general public? _____

- If yes, describe your agency's marketing efforts directed specifically toward service to the general public. _____

Restrictions on Lobbying

(Applies if you received more than \$100,000 of any federal funds in one year.)

Was your agency awarded more than \$100,000 in FTA funds in the past year? _____

Was your agency awarded more than \$100,000 in FTA funds for the current year? _____

If no, you can skip the rest of this section.

Note: For the purposes of this certification lobbying includes traveling to and/or meeting with members of Congress, Congressional staff, officers or employees of federal departments specifically seeking to obtain funds in the form of grants and contracts with a cost over \$25,000. It does not include lobbying regarding policy issues.

If yes, did your agency lobby? _____

If yes, how did you ensure that no federal funds were used to pay for lobbying expenses? _____

If your agency lobbied with local or state funds, did you submit the required LLL lobbying report to WSDOT? _____ (*WSDOT will submit this report to the FTA*)

Signage

Civil Rights (Title VI) (*non-discrimination*) _____ Disabled Persons' Employment _____
Equal Opportunity Employer _____ Federal Minimum Wage Law _____

Are the above signs located where applications are accepted and hiring takes place? _____

Job Safety & Health Protection _____ Polygraph Protection Act _____
Family Medical Leave Act (*Applies to organizations with more than 50 employees*) _____

Are the above signs located in the Employee's gathering area, e.g. break room etc.? _____

Purchasing Procedures

Does your agency issue formal contracts in the amount of \$100,000 or more for goods and services purchased with federal funds? _____

Do you use a checklist to assure you have all the proper FTA clauses? _____ (*For applicable information see FTA's Best Practices Procurement Manual at www.fta.dot.gov/library/admin/BPPM/appA1.html*)

Does your agency have written purchasing policy? (*provide a copy*) _____

- Does the purchasing policy cover purchase of various values (i.e. small purchases to vehicle/facility purchases)? _____
- Does your policy have an appeal process? _____

Do you do competitive procurement? _____

Do you comply with FTA circular 4220.1e (*Chapter 6 - Guide to Managing Your Public Transportation Grant Reference Manual*)? _____

Program Specific

Complaints (5310, 5311, 5311(f) and JARC grants only)

Does your agency have procedures in place to handle complaints received that allege unfair competition? _____

- If yes, what do the procedures consist of? _____

Has your agency received any written complaints? _____

- If yes, what is the status of the complaint(s) _____

Charter Service (5311, 5311(f) and JARC only)

Does your agency provide charter service? _____

- If yes, have they gone through the willing and able process and received an extension from the FTA? _____
- If yes, when was this process completed? _____

Note: This must be done annually. (49CFR, part 604 – also in the Grantee’s Guidebook)

School Bus Service (5310, 5311, 5311(f) & JARC only)

Does your agency provide school bus transportation? _____

- If so, is this service also available to the general public (open door policy)? _____
(49CFR, part 605)

Signage (5311, 5311(f) & JARC only)

5333(b) Special Warranty (Previously Section 13(c))

Does your agency have a copy of the “Rural Transportation Employee Protection Guidebook? Chapter 7 of “Guide to Managing Your FTA Project – Reference Manual” _____

- Is Appendix “F” on your agency letterhead (followed by Appendixes “A” and “C”) displayed in an employee main gathering area? _____

Does your agency have an existing Union collective bargaining agreement? _____

If yes, are the arbitration procedures attached to Appendix “C” as an addendum? _____

- What Union _____ Local _____

Is the recipient’s letter accepting the Special Warranty posted where affected employees can see it (in the employees break room or lounge)? _____

Drug and Alcohol (5311, JARC)

Have you updated your Drug and Alcohol policy since it was last submitted to WSDOT? _____

If yes, please provide a copy _____

Disadvantaged Business Enterprises (DBE)**5310, 5311, 5311(f) & JARC only –if \$250,000 in contracting not including rolling stock**

Was your agency awarded \$250,000 or more in FTA funds to be received this Federal fiscal year?

Yes _____ No _____

If Yes, does your agency expect to award contracts cumulatively exceeding \$250,000 using FTA funds during this federal fiscal year (excluding rolling stock)? _____**If Yes**,Do you have a formal plan approved by FTA? *(please provide a copy)* _____

- Was the plan submitted to WSDOT? _____
- Is your agency meeting their goal for purchases from DBE sources? _____
- What good faith efforts were made to try to meet this goal: _____

If No,

What good faith efforts made to purchase from DBE Vendors? _____

Are DBEs given the opportunity to participate in the bidding process for purchases? _____

- What documentation does your agency have to support this claim? _____

Do you have available and use the Minority and Women Owned Business Enterprise Handbook (also available on line at <http://www.omwbe.wa.gov/directory/directory.htm>)? _____**Comments/Follow Up Action on Current Site Visit – Program Specific**

Operating Only***Matching Funds***

Does your agency have an invoicing system for matching funds? _____

Does your agency have documentation for the source(s) and amounts of the matching funds shown on the previous invoice? _____

Were all matching funds eligible for use? _____

Did your agency use as match, any “In-Kind” contributions? _____

- Did you receive written approval from WSDOT? _____
- Did these funds total 50% or less than the total match? *(Federal funds only excluding JARC)* _____

Did your agency use as match, any federal funds that were not passed through another state social service agency (Medicaid, ALTC, etc.)? _____

- Did these funds total 50% or less than the total match? _____

Were records on the above easily accessed? _____

Payroll Considerations

Do the payroll records reflect, by program, the time spent by the employees on specific grant activities? _____

- If not, what method is being used to distribute these costs? _____

Are payroll withholding taxes being remitted on a timely basis: i.e. Labor and Industries, Social Security, federal income tax, etc.? _____

Do full time employees receive benefits such as 401 plans, health insurance, etc for which any amount is withheld from their salary? _____

- Are these benefits being paid timely and accordingly? _____

Do full time employees receive paid sick and/or annual leave? _____

- If yes, how is the time earned accounted for? _____

At what point is leave time charged to the agreement? _____

- If charged when taken, are measures in place to ensure that no more time is charged than what the employee earned during the agreement period? _____
- If charged as accrued, has a leave pool been established & the accruals fully funded? _____

Comments: _____

Are payroll records easily accessible? _____

Are your personnel records complete? (Social Security number, name and address, job classification, hourly pay rate, number of hours worked, deductions, and wages paid) _____

Accounting Records and Practices

Expenses:

Is your accounting system an accrual system? _____

- If yes, do you make accruals monthly or at year-end? _____

Does your agency have specified accounts within its accounting system for each transportation program? _____

- If not, what method does your agency use to distribute the costs between programs? _____

Were all costs charged to the grants incurred after the beginning date of the agreement? _____

Are costs for prepaid services prorated to include only services that are rendered during the contract period? _____

Were vouchers or purchase orders prepared for all payments made to vendors? _____

- Do these documents specify what was purchased? _____
- Do the documents identify the programs being charged (i.e. accounts)? _____
- Were sample documents easily retrieved? _____

Did the amounts charged against the agreement reflect the actual prices paid? _____

(Sales price less any discounts, refunds, etc.)

Is there a clear audit trail of the accounts? _____

Can the costs charged to a specific program be traced back from the general ledger to the actual invoice? _____

Does your agency charge administrative or overhead costs to the grant? _____

Does your agency have a system in place to properly distribute the administrative and overhead costs between programs? _____

- Have you supplied a copy of your cost allocation plan to WSDOT? _____
- How are these costs calculated to determine the portion charged to a specific program? _____

Does your agency charge depreciation expense to the grants? _____

- If yes, do you have a system in place to calculate allowable depreciation expense and/or use fees? _____
- How are the expenses/fees calculated? _____

Does your agency pay for mileage on private vehicles? _____

If Yes:

- Does the rate paid fall within the current state mileage rate? _____
- Does your agency have a written policy in place for volunteer drivers? _____
- Does the policy require volunteer drivers to accept shared rides (*more than one passenger*)? _____

Were employee travel expenses charged to the grant? _____

- If yes, were the trips eligible for reimbursement? _____
- Were the costs incurred within state per diem rates? _____
- Was prior written approval received from WSDOT? (*Required for out of state and non-transportation related activities*) _____

Comments/Follow Up Action on Current Site Visit – All Projects

Capital Only

Federal Vehicle Procurement

Did your agency conduct its own procurement, participate in a WSDOT consolidated bid or piggyback on another transportation provider contract? _____

Do you have a procurement file containing all documents relative the bid process (*see attached list*)? _____

Does the file contain an executed contract with the vendor (Attachment C)? _____

Does the file contain the final vehicle specifications? _____

If the procurement was part of a WSDOT consolidated bid or piggyback on another provider contract, does the file contain the appropriately executed bid documents?

Is the FMVSS certification (metal plate or in door jam) on all federal funded vehicles? _____

Do you have the FMVSS Certification in your files? _____

Do you have a copy of the Altoona test for all FTA vehicles that meet the threshold? _____

For State Funds or Federal Funding - Contracts over \$100,000:

- Do you have Buy America Certifications (Pre-Award and Post-award?) _____

Maintenance Program

Do you have a written preventative maintenance plan/program? *(please provide a copy)* _____

How often are vehicles serviced under the plan/program? _____

Do you maintain vehicle repair files? *(please provide a sample)* _____

- Do the vehicle repair files reflect that service is done in accordance with the preventative maintenance plan/program? _____

How do you keep track of when preventative maintenance servicing is due? *(please provide a copy)* _____

Furnish copies of work orders or repair orders. _____

Vehicle Inventory Issues

If WSDOT holds title to any vehicles:

- Was a WSDOT vehicle inventory report completed and verified during this meeting? _____
- Were vehicle maintenance records reviewed? _____
- Were any vehicles inspected or viewed? _____
 - If yes, which vehicles were viewed: _____

- If a vehicle was shown on the grant application as a replacement vehicle, is the replaced vehicle currently shown in spare and surplus status? _____

Comments/Follow Up Action on Current Site Visit – Capital Only

Organization _____ Agency Veh # _____ Year _____ Make _____
 Maintenance Interval _____ VIN _____

General Vehicle Condition Checklist (WSDOT use only)

1. Exterior condition (Paint Condition / Body Damage / Cleanliness)
 Excellent Good Fair Poor Needs Immediate Attention
 Comments:

2. Lights, Mirrors, Glass (Breaks, Cracks, Not Functioning Lights)
 Excellent Good Fair Poor Needs Immediate Attention
 Comments:

3. Interior (Upholstery, Safety Belts, Floor, Door Operation, Lights, Cleanliness)
 Excellent Good Fair Poor Needs Immediate Attention
 Comments:

4. Engine Running (Difficulty Starting, Excessive Noise, Visible Exhaust, Noticeable Odors (other than diesel exhaust), Evidence of Oil Leaks on Ground)
 Excellent Good Fair Poor Needs Immediate Attention
 Comments:

5. Tires (Visibly worn, Sidewall Cuts or Cracks, Appear Under Inflated)
 Excellent Good Fair Poor Needs Immediate Attention
 Comments:

6. Wheelchair Lift / Ramp (Operates Properly, No Exposed Hazards, Cleanliness)
 Excellent Good Fair Poor Needs Immediate Attention
 Comments:

7. Safety (loose items in driver and passenger compartment, etc.)
 Comments:

FTA Drug Abuse and Alcohol Misuse Testing Program Subrecipient Program Compliance Checklist

Agency/Organization Name:			
Type(s) of Funding Received by Organization:			
Applicable Grant #(s):			
Date of Compliance Review:			
Date of Policy on file:			
Agency's Drug and Alcohol Testing Program Manager			
Agency's Designated Employee Representative:			
Ref		Yes	No
655.12(a)	Policy Statement - Does the policy statement included:		
655.12(a)	1) A statement describing your organization's policy on prohibited drug use and alcohol misuse in the workplace?		
655.15(a)	2) The identity of the person, office, branch, and/or position designated to answer employee questions about your organization's anti-drug use and alcohol misuse programs?		
655.15(b)	3) The categories of employees who are subject to FTA Drug and Alcohol testing requirements?		
655.15(c)	4) Specific information concerning the behavior and conduct prohibited by the FTA regulations?		
655.15(d)	5) The specific circumstances under which a covered employee will be tested under the FTA regulations?		
655.15(e)	6) The procedures that will be used to:		
↓	a) Test for the presence of illegal drugs or alcohol misuse?		
↓	b) Protect the employee's privacy?		
↓	c) Protect the integrity of the drug and alcohol testing process?		
↓	d) Safeguard the validity of the test results?		
↓	e) Ensure that the test results are attributed to the correct employee?		
655.15(f)	7) The requirement that an employee must submit to drug and alcohol testing administered in accordance with FTA regulations?		
655.15(g)	8) A description of the kind of behavior that constitutes:		
↓	a) A refusal to take a drug or alcohol test?		
↓	b) A statement that such a refusal constitutes a violation of your organization's policy?		
655.15(h)	9) The consequences for:		
↓	a) An employee who has a confirmed positive drug test?		
↓	b) An employee who has a confirmed alcohol test with an alcohol concentration of 0.04 or greater?		
↓	c) An employee who refuses to submit to a drug or alcohol test?		
↓	d) Do those consequences include the requirement that, in the case of a confirmed positive test or refusal, the employee be removed immediately from the safety-sensitive function and be evaluated by a substance abuse professional?		
↓	10) The consequences for a covered employee who is found to have an alcohol concentration of 0.02 or greater but less than 0.04?		
655.15(i)	11) A distinction between what portions of your organization's drug and alcohol testing program are operated under your own authority than those that are required under FTA regulations?		

<i>Ref</i>		<i>Yes</i>	<i>No</i>
655.16	<i>Policy Dissemination</i>		
↓	1) Was written notice of your organization's anti-drug and alcohol misuse policies and procedures provided to:		
↓	a) Every covered employee?		
↓	b) Representatives of the employee organizations (unions)?		
↓	c) Do you have documentation on file evidencing the dissemination of the notice?		
40.25	<i>Pre Employment Administrative Requirements</i>		
40.25(a)	1) Did you request the following information from the employee's/applicant's previous employers covering the prior 2 years		
40.25(b)	a) Did the employee/applicant have any Alcohol tests with a result of .04 or greater?		
↓	b) Did the employee/applicant have a verified positive drug tests?		
↓	c) Did the employee ever refuse to be tested (including adulterated or substituted results)?		
↓	d) Did the employee/applicant have any other violations of the DOT drug and alcohol testing regulations		
40.25(d)	2) Did your organization refrain from placing the employee/applicant in safety sensitive duty until the information was received?		
↓	a) If no, do you have documentation on file that reflects your good faith efforts to obtain the information?		
40.25(e)	3) Did you receive information from previous employers that indicated the employee/applicant had violated the DOT drug and alcohol testing regulations?		
↓	a) If yes, was the person hired?		
↓	• If yes, did you receive documentation that shows the employee is in compliance with the return to duty process?		
40.25(j)	4) Do you ask applicants if they have ever tested positive or refused to test on any pre-employment drug or alcohol tests?		
	<i>Contracted Services</i>		
40.15	1) Service Agents (C/TPA's) - Do you use a service agent to perform any of the tasks needed to comply with the USDOT and FTA drug and alcohol regulations? If yes,		
	a) Who is your service agent? _____		
	b) What tasks does the service agent perform for you? _____		
40.15(b)	c) Have you reviewed the service agent's procedures to ensure they are in compliance with 49 CFR Part 40 and Part 655?		
	• When was the review completed? _____		
	• Were there any compliance problems? _____		
	• If yes, did you conduct a follow up review?		
	(i) When? _____		
40.17	2) Do you receive information from your C/TPA without significant delay?		
40, C-E	3) Urine Collection Facilities		
	a) What collection sites are used by your organization? _____		
655.45	b) Do these collection facilities allow for testing at all hours of your service?		
40.35	c) Have you provided the name of your DER to each collection facility?		
40.33	d) Have the collection site personnel received the required training?		
	• Does your organization have documentation evidencing the training?		

Ref		Yes	No
	e) Has your organization conducted an on-site review of the collection facility(s) to ensure they are in compliance with DOT drug and alcohol testing regulations?		
	• If yes, Date of review: _____		
	• Were there any findings?		
	(i) If yes, did you conduct a follow-up review?		
	(ii) Date of follow-up review: _____		
	(iii) Were the issues resolved?		
40, F	4) Laboratories		
	a) What laboratory does your organization use? _____		
40.81	b) Do you have documentation that shows the laboratory is certified, by HHS, under the National Laboratory Certification Program?		
40.103	c) Does your organization or your TPA submit blind specimens to the lab?		
40.105	• Have any of the results shown different results than expected?		
40.105(a)	• If yes, did you or your TPA investigate the issue?		
40.105(b-c)	(i) What steps were taken to resolve this issue? _____		

40.107	d) Have you or your TPA reviewed the laboratory?		
	• If yes, were there any compliance problems?		
	(i) If yes, did you conduct a follow up review?		
	(ii) Date of follow up review _____		
40, G	5) Medical Review Officer (MRO)		
	a) Who is your MRO _____		
40.121(a)	b) Does the MRO have the proper credentials?		
40.121(b)	c) Does the MRO possess the required basic knowledge?		
40.121(c-d)	d) Has the MRO completed the required training?		
40.121(e)	e) Do you have documentation on file to evidence the above?		
	f) Have you or your TPA conducted a review of the MRO?		
	• If yes, were there any compliance problems?		
	(i) If yes, did you conduct a follow up review?		
	(ii) Date of follow up review _____		
Part 40, J-N	6) Blood Alcohol Technicians and Screening Test Technicians		
	a) Who are your BATs or SSTs? _____		
40.213	b) Have they received the required training?		
	c) Do you have documentation on file evidencing their training?		
40.231	d) What devices are used by your BAT's or SST's? _____		
	e) Have you conducted a review of the BAT's or SST's practices and procedures? If yes, date: _____		
	• Were there any compliance problems?		
	(i) If yes, did you conduct a follow up review?		
	(ii) Date of follow up review _____		
Part 40, O	7) Substance Abuse Professional		
	a) Who is your SAP? _____		
40.281(a)	b) Does the SAP have the proper credentials?		
40.281(c)	c) Has the SAP completed the completed the required training?		
	• Do you have documentation on file to evidence the training?		

<i>Ref</i>		<i>Yes</i>	<i>No</i>
40.281(c)	d) Have you conducted a review of the SAP's practices and procedures? If yes, date: _____		
	<ul style="list-style-type: none"> Were there any compliance problems? 		
	(i) If yes, did you conduct a follow up review?		
	(ii) Date of follow up review _____		
655.14	<i>Employee Education and Training</i>		
655.14(a)	1) Does your organization display and distribute, to every covered employee:		
↓	a) Information material?		
↓	b) Community service hot-line telephone number for employee assistance (if available)?		
655.14(b) 1	2) Do covered employees receive at least 60 minutes of training on the effects and consequences of prohibited drug use on personal health, safety, and the work environment?		
655.14(b) 2	3) Do supervisors and other employees, authorized to make reasonable suspicion determination, receive:		
↓	a) At least 60 minutes of training on the physical, behavioral, and performance indicators of probable drug use?		
↓	b) At least 60 minutes of training on the physical, behavioral, speech, and performance indicators of probable alcohol misuse?		
	<i>Testing Requirements</i>		
655.21(a) & 655.31(a)	1) Does your organization's program include testing under the following circumstances?		
↓	a) Pre-employment (required for drug, optional for alcohol)		
↓	b) Post-accident		
↓	c) Reasonable suspicion		
↓	d) Random		
↓	e) Return to duty/follow-up		
655.21(b)	2) Does your organization ensure that the test includes detection of the following drugs?		
↓	a) Marijuana		
↓	b) Cocaine		
↓	c) Opiates		
↓	d) Amphetamines		
↓	e) Phencyclidine		
655.21(c)	3) Is the use of the substances, identified above, prohibited at all times?		
655.21(c)	4) Requirements specific to Alcohol testing		
655.31(b)	a) Does your program prohibit covered employees with an alcohol concentration of 0.04 or greater from performing, or continuing to perform a safety-sensitive function?		
655.31(a)	b) Are covered employees prohibited from using alcohol within 4 hours prior to performing safety sensitive functions?		
655.33(b)	c) On-Call status:		
655.33(b)	<ul style="list-style-type: none"> Are on-call employees prohibited from consuming alcohol during the on-call period? 		
655.33(b) 1	<ul style="list-style-type: none"> Do employees, in on-call status, have an opportunity to acknowledge the use of alcohol at the time he or she is called to report to duty and their inability to perform safety sensitive functions? 		

<i>Ref</i>		<i>Yes</i>	<i>No</i>
655.33(b) 2	<ul style="list-style-type: none"> Do you require an alcohol test if an on-call employee acknowledges alcohol use but claims the ability to perform safety sensitive functions? 		
655.34	d) Are covered employees prohibited from consuming alcohol for eight hours following an accident or until he/she undergoes a post accident alcohol test (which ever comes first)?		
655.35(a) & 40.23(c)	e) If an employee tests positive with an alcohol concentration of between 0.02 and 0.04 is he/she removed from safety sensitive duty?		
655.35(a)	f) After removing an employee, who with an alcohol concentration that falls between 0.02 and 0.04, do they refrain from returning him/her to safety sensitive duty until:		
↓	<ul style="list-style-type: none"> The alcohol concentration falls below 0.02? 		
↓	<ul style="list-style-type: none"> The start of the employee's next regularly scheduled duty period but not less than eight hours following the administration of the test? 		
655.35(b)	g) Is any action taken, other than that listed in "e)" above, when an employee tests positive with an alcohol concentration of less than 0.04?		
	<ul style="list-style-type: none"> If yes, does your organization have legal authority to do so? 		
	Conditions on Testing		
655.41	1) Pre-employment testing		
↓	a) Drug testing:		
655.41(a)1	<ul style="list-style-type: none"> Do you refrain from placing an employee/applicant into safety sensitive duty, for the first time, until after they receive a confirmed negative test result? 		
655.41(a)2	<ul style="list-style-type: none"> If an employee/applicant has previously failed or refused a pre-employment drug test, do they require the employee to provide documentation evidencing that they have successfully completed an SAP referral, evaluation, and treatment plan? 		
655.41(b)	<ul style="list-style-type: none"> Do they conduct a pre-employment test when transferring an employee from a non-safety sensitive function to a safety sensitive function? 		
655.41(c)	<ul style="list-style-type: none"> When a pre-employment test is cancelled, do you require the employee/applicant to take another pre-employment drug test? 		
655.41(d)	<ul style="list-style-type: none"> Does your organization require an employee, not performing safety sensitive functions for 90 or more consecutive days, to submit to a pre-employment drug test? 		
↓	<ul style="list-style-type: none"> If no, was the employee(s) retained in your random pool? 		
655.42	b) Alcohol Testing – Does your organization conduct pre-employment alcohol testing? If yes:		
655.42(a)	<ul style="list-style-type: none"> Is the test conducted prior to placing the employee/applicant into a safety sensitive function? 		
655.42(b)	<ul style="list-style-type: none"> Is the test required for all employees/applicants? 		
655.42(c)	<ul style="list-style-type: none"> Is the test conducted after making a contingent offer of employment? 		
655.42(d)	<ul style="list-style-type: none"> Are all pre-employment alcohol tests conducted in accordance with 49 CFR Part 40? 		
655.42(e)	<ul style="list-style-type: none"> Is a test result of less than 0.02 received prior to placing the employee into safety sensitive duty? 		
655.43	2) Reasonable Suspicion Testing		
655.43(b)	a) Have the employees authorized to make reasonable suspicion determinations received the required training?		
↓	b) Have any reasonable suspicion tests been conducted? If yes,		

<i>Ref</i>		<i>Yes</i>	<i>No</i>
655.43(b)	<ul style="list-style-type: none"> Was the employee who made the determination authorized and trained to make reasonable suspicion determinations? 		
↓	<ul style="list-style-type: none"> Was the determination based on specific, current, and describable observations concerning the appearance, behavior, speech, or body odors of the employee? 		
655.43(c)	c) If a reasonable determination was made for alcohol consumption was the test conducted:		
↓	<ul style="list-style-type: none"> While the employee was performing a safety sensitive function? 		
↓	<ul style="list-style-type: none"> Just before the employee was to perform a safety sensitive function? 		
↓	<ul style="list-style-type: none"> Just after the employee has ceased performing a safety sensitive function? 		
655.43(d)	<ul style="list-style-type: none"> Within two hours of the determination? 		
↓	(i) If no, is there documentation on file detailing the reasons the test was not conducted?		
655.44	3) Post Accident Testing		
655.44(a)1	a) Fatal Accidents - Were there any accidents involving the loss of human life? If yes:		
↓	<ul style="list-style-type: none"> Was a post accident test conducted as soon as possible? 		
↓	(i) How long after the accident was the drug test? _____		
↓	(ii) How long after the accident was the alcohol test? _____		
↓	<ul style="list-style-type: none"> Were all surviving covered employees operating the vehicle(s) involved in the accident tested? 		
↓	<ul style="list-style-type: none"> Were other covered employees, who's actions may have contributed to the accident, tested? 		
655.44(a)2	b) Non-Fatal Accidents – Were there any other accidents (as defined in 49 CFR Part 655.4)? If yes,		
↓	<ul style="list-style-type: none"> Was a post accident test conducted as soon as possible? 		
↓	(i) How long after the accident was the drug test? _____		
↓	(ii) How long after the accident was the alcohol test? _____		
655.44(a)2	<ul style="list-style-type: none"> Were all covered employees operating the vehicle(s) involved in the accident tested? 		
↓	<ul style="list-style-type: none"> Were other covered employees, who's actions may have contributed to the accident, tested? If not, 		
655.44 (d)	(i) Do you have documentation on file that shows that the employees' actions can be completely discounted as a causing factor to the accident?		
655.45	2) Random Testing		
655.45(a)	a) Were random drug tests performed on the equivalent of 50 percent of your organization's covered employees?		
↓	b) Were random alcohol tests performed on the equivalent of 10 percent of your organization's covered employees?		
655.45(e)	c) What procedures does your organization use for its random draw? _____		
655.45(g)	d) Are random tests conducted throughout your organization's hours of service?		
↓	e) Are random tests spread conducted at varying times during the month?		
655.45(h)	f) Are employees selected for random tests required to proceed to the testing facility immediately upon notification?		

<i>Ref</i>		<i>Yes</i>	<i>No</i>
655.46	3) Return to Duty Tests		
↓	a) Did any employees refuse to submit to a drug or alcohol test?		
↓	b) Did any employees have a confirmed positive test result?		
655.46	c) If the answer to “a)” or “b)” above was yes:		
↓	• Was a return to duty test conducted?		
↓	(i) If not, why? _____		
40.301	(ii) If yes, did the employee complete the SAP process?		
40.301(c)1	(iii) Does your organization have documentation to support this claim?		
655.61	Test results		
40.21	1) Does your organization “Stand Down” employees prior to the MRO completing the verification process?		
↓	a) If yes, were you granted a waiver by USDOT?		
↓	b) Do you have documentation on file showing this waiver?		
655.61(a) & 40.23	2) Did any employees or applicants have a confirmed positive test result for drugs or alcohol (.04 or greater); or refuse to submit to a test? If yes:		
↓	a) Was the employee immediately removed from safety sensitive duty?		
655.62	b) Was the employee/applicant referred to a Substance Abuse Professional (SAP)?		
↓	c) Did the employee complete the SAP recommendations?		
↓	• Do you have documentation on file evidencing compliance with the SAP recommendations?		
655.61(b)	d) Were return to duty and follow up tests conducted?		
↓	• If no, why? _____		
40.23(b)	3) Did your organization receive any test results that were verified adulterated?		
↓	a) If yes, did you treat the result as a refusal to test?		
40.23(e)	4) Did your organization receive any test results that indicated the specimen was dilute?		
	a) If yes, was the dilute test result positive or negative? _____		
40.197(a)	• If verified positive, was the test treated as other positive tests?		
40.197(b)	• If verified negative, did you require the employee to be re-tested?		
40.197(c)	(i) Are all employees treated in this manner?		
40.23(f)	5) Did you receive any test results indicating that the specimen was invalid? If yes,		
↓	a) Did you direct the employee to submit another test under direct observation?		
↓	b) Did you attach any other consequences?		
↓	c) Was the employee given advance notice?		
↓	d) Did you indicate the same type of test as the original on the CCF?		
40.23(f)	6) Did you receive any cancelled tests? If yes,		
↓	a) Was a negative test required (pre-employment, return to duty, follow up) If yes,		
↓	• Was the employee/applicant directed to immediately submit to another test?		

<i>Ref</i>		<i>Yes</i>	<i>No</i>
655.71 & 40.333	Records control and retention		
655.71(a)	1) Where are your testing records kept? _____		
↓	2) Is this a secure location? _____		
↓	a) Who has access to the records? _____		
655.71(c)	3) What types of records are maintained by your organization? _____		
655.71(c)1	a) Records related to the collection process		
↓	• Collection log books (if used)		
↓	• Documents relating to the random selection process		
↓	• Documents generated in connection with a decision to administer a reasonable suspicion test		
↓	• Documents generated in connection with a decisions on post accident tests		
↓	• MRO documents verifying existence of a medical explanation for inadequate urine or breath		
655.71(c)2	b) Records related to test results		
↓	• The employer copies of the chain of custody form		
↓	• Documents related to test refusals		
↓	• Documents from employee disputing the test results		
655.71(c)3	c) Records related to SAP referral		
↓	• Employee/applicant referral		
↓	• Return to duty		
↓	• Follow up tests		
↓	• Employee's/Applicant's entry into and successful completion of the SAP recommended treatment program		
655.71(c)4	d) Employee Training records		
↓	• Training materials on drug and alcohol awareness		
↓	• Awareness training – Names, dates, and times of training		
↓	• Reasonable suspicion training		
↓	• Certification that the training complies with 49 CFR Part 655		
655.71(b)	4) How long do you retain the records? _____		
↓	a) Five Years		
↓	• Verified positive test results		
↓	• Documentation of test refusals		
↓	• Employee referrals to SAP		
↓	• Copies of the annual MIS report		
↓	b) Two Years		
↓	• Records related to the collection process		
↓	• Documentation of employee training		
↓	c) One Year		
↓	• Records of negative test results		
40, P	5) Confidentiality		
40.321	a) Have you released any employee drug and alcohol testing information to anyone without the written permission of the employee? _____		
↓	• If yes, what were the circumstances that surrounded the release of information? _____		
↓	• Did you receive written consent from the employee authorizing you to release the information? _____		

<i>Ref</i>		<i>Yes</i>	<i>No</i>
655.72	<i>MIS Reports</i>		
↓	1) Do you submit your annual MIS report to WSDOT in a timely manner?		
↓	2) Did the reports contain all of the required information?		

Procurement File Contents Checklist

- ☐ Correspondence between your agency & WSDOT regarding the consolidated grant process and your capital assistance grant
- ☐ Documentation of WSDOT approval of your procurement process and bid documents
- ☐ Documents regarding the group development of final WSDOT bid package (if vehicle purchase off of state contract)
- ☐ Official request for bids and final specifications
- ☐ Copy of the vendor bid (including all attached documents) and approved equal requests
- ☐ Response to requests for equals and any related requests for reconsideration
- ☐ Original signed vendor bid sheet pertaining to your vehicle purchase
- ☐ Final price of vehicle with list of selected options signed by vendor
- ☐ Original Certification of Lower-Tier Participants Regarding Debarment, Suspension, and Other Ineligibility and Voluntary Exclusion signed by the vendor
- ☐ Original signed Lobbying Certification
- ☐ Original signed Participation by Minority Business Enterprise in Department of Transportation Programs
- ☐ Original Signed and Dated Pre-Award Certifications: Buy America (if over \$100,000) and Federal Motor Vehicle Safety Standards Certifications
- ☐ Copy of Altoona Test for the particular vehicle model and manufacturer
- ☐ Report from factory visit (where appropriate)
- ☐ Written WSDOT approval of proposed Contract with vendor and final price sheet (*important note*¹)
- ☐ Original fully executed contract with vendor
- ☐ Performance Bond
- ☐ Post Award Buy America Certification (if over \$100,000)
- ☐ Confirmation that Federal Motor Vehicle Safety Standard Certification is physically attached to the vehicle
- ☐ Road test checklist (In Guidebook, Appendix C)
- ☐ Visual inspection checklist (In Guidebook, Appendix C)
- ☐ Original Invoice
- ☐ Request for reimbursement from WSDOT with attachments
- ☐ Copy of vehicle registration showing WSDOT as legal owner
- ☐ Insurance coverage listing WSDOT as additional insured

Please refer to the *Guide to Managing Your Public Transportation Grant* for further instructions and requirements. Chapter 3 contains information specific to Capital Projects. Prior to issuance/execution of a purchase order/contract for a vehicle(s), WSDOT must be provided the purchase order/contract and all required certifications to ensure all procurement clauses and certifications have been incorporated. With the transmittal to WSDOT, include a cover letter certifying that you have the appropriate Altoona Testing in your procurement file.

Appendix E

Vehicle Disposition Schedule

This appendix consists of a chart designed to help you determine how long Washington State Department of Transportation will hold title to a vehicle purchased with state and federal funds.

Vans and Minivans

Useful Life: 4 years



Minibuses with four wheels

Useful life: 5 years



Minibuses, cutaway with dual rear wheels

Wheel base length: up to 158"

Useful Life: 6 years



Minibuses, cutaway with dual rear wheels

Wheel base length: 159" to 181"

Useful Life: 7 years



Bus or trolley configuration, dual rear wheels

Gross Vehicle Weight: up to 19,000 lbs.

Useful Life: 8 years



Bus or trolley configuration, dual rear wheels

Gross Vehicle Weight: 19,000 to 24,000 lbs.

Useful Life: 9 years



Bus or trolley configuration, dual rear wheels

Gross Vehicle Weight: Greater than 24,000 lbs.

Useful Life: 12 years



